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The most current version of this document will be available on the eRA website: <http://era.nih.gov>.

IMPORTANT: Did you know the information in this user guide is available as online help, too? Access the Commons Online Help directly at <http://era.nih.gov/erahelp/commons> or click the "?" icon anywhere within Commons for help specific to that screen.

TABLE OF CONTENTS

| | |
|--|-----------|
| 1 About eRA Commons | 1 |
| 1 Latest Updates | 2 |
| 1.0.1 September 20, 2017 | 2 |
| 1.0.2 August 22, 2017 | 2 |
| 1.0.3 June 8, 2017 | 2 |
| 1.0.4 June 1, 2017 | 2 |
| 1.0.5 April 10, 2017 | 2 |
| 1.0.6 February 23, 2017 | 2 |
| 1.0.7 February 21, 2017 | 2 |
| 1.0.8 February 1, 2017 | 2 |
| 1.0.9 January 19, 2017 | 3 |
| 1.0.10 January 17, 2017 | 3 |
| 1.0.11 January 1, 2017 | 3 |
| 1.0.12 December 2016 | 3 |
| 1.0.13 October 2016 | 3 |
| 2 Welcome to Commons! | 5 |
| 2.1 Logging into Commons | 6 |
| 2.1.1 Accessing Commons with a Commons User ID | 7 |
| 2.1.2 Session Expiration | 11 |
| 2.2 Switching Institutions | 11 |
| 2.3 Changing the Displayed Affiliated Institution | 12 |
| 2.4 Logging out of Commons | 14 |
| 3 Federated Institutions/Organizations Sign In | 15 |
| 3.1 Accessing Commons with Your Organization Credentials | 15 |
| 3.2 Why Can't I Link My Commons Account? | 16 |
| 4 Password Policy | 18 |

| | | |
|----------|---|-----------|
| 4.1 | First-Time Login | 18 |
| 4.2 | Password Requirements | 19 |
| 4.3 | Reset Password | 19 |
| 4.4 | Changing Your Password | 21 |
| 4.5 | Reset Your Expired Password | 22 |
| 4.6 | Resetting a Locked Account | 23 |
| 5 | User Roles | 25 |
| 5.1 | Account Administrator (AA) | 26 |
| 5.2 | Administrative Official (AO) | 26 |
| 5.3 | Assistant (ASST) | 27 |
| 5.4 | Business Official (BO) | 27 |
| 5.5 | Financial Conflict of Interest (FCOI) | 28 |
| 5.5.1 | FCOI Assistant (FCOI_ASST) Role | 28 |
| 5.5.2 | FCOI Read-Only (FCOI_View) Role | 28 |
| 5.6 | Federal Financial Report (FSR Role) | 29 |
| 5.7 | Internet Assisted Review (IAR) | 29 |
| 5.8 | Program Director/Principal Investigator (PI) | 29 |
| 5.9 | Signing Official (SO) | 31 |
| 5.10 | Sponsor (SPONSOR) | 32 |
| 5.11 | Trainee (TRAINEE) | 32 |
| 6 | Modules | 33 |
| 7 | Commons Demonstration Site | 34 |
| 7.1 | Accessing Commons Demonstration Facility | 34 |
| 7.2 | Creating a New Demo Account | 35 |
| 8 | Registering Institutions and Organizations | 37 |
| 8.1 | Institution Registration Request | 37 |
| 9 | Admin Module | 44 |

| | | |
|-----------|--|-----------|
| 9.1 | Accounts | 44 |
| 9.1.1 | Advanced Search | 44 |
| 9.1.2 | Create a New Commons Account for an Individual (e.g., PD/PI) | 46 |
| 9.2 | Delegations | 51 |
| 9.2.1 | Delegate on Behalf of Another User | 52 |
| 9.2.1.1 | Delegating Progress Report Authority on Behalf of Another User | 52 |
| 9.2.1.2 | Delegate Sponsor Authority on Behalf of Another User | 56 |
| 9.2.1.3 | Revoke Authority on Behalf of Another User | 60 |
| 9.2.2 | Institutional Delegation | 63 |
| 9.2.2.1 | Delegating Institutional Submit Progress Report Authority | 63 |
| 9.2.2.2 | Revoking Institutional Submit Progress Report Authority | 66 |
| 9.2.3 | Direct Delegations | 70 |
| 9.2.3.1 | Delegate Authority to Someone | 71 |
| 9.2.3.2 | Search Delegations | 74 |
| 9.2.3.3 | Edit Delegations | 76 |
| 9.2.3.4 | Remove Delegations | 77 |
| 10 | Institution Profile Module (IPF) | 79 |
| 10.1 | Navigating the Institution Profile | 79 |
| 10.1.1 | IPF Dashboard | 80 |
| 10.1.2 | Main Sections | 81 |
| 10.1.3 | Institution Profile Online Help Topics | 81 |
| 10.2 | What's the Difference Between View and Edit? | 82 |
| 10.2.1 | Viewing the Information in the Institution Profile | 82 |
| 10.2.2 | Editing the Information in the Institution Profile | 83 |
| 10.3 | Institution Basic Information | 85 |
| 10.3.1 | Institution Name | 88 |
| 10.3.1.1 | Viewing Institution Name | 88 |

| | |
|---|------------|
| 10.3.1.2 Editing Institution Name | 89 |
| 10.3.2 Institution Contact Information | 90 |
| 10.3.2.1 Viewing Institution Contact Information | 90 |
| 10.3.2.2 Editing Institution Contact Information | 91 |
| 10.3.3 About the Institution | 93 |
| 10.3.3.1 Viewing About the Institution Information | 93 |
| 10.3.3.2 Editing About the Institution Information | 94 |
| 10.3.4 Indirect Cost Negotiations | 99 |
| 10.3.4.1 Viewing Indirect Cost Negotiations | 99 |
| 10.3.4.2 Editing Indirect Cost Negotiations | 100 |
| 10.3.5 Signing Officials and TTO Administrators | 101 |
| 10.3.6 Institution Address | 102 |
| 10.3.6.1 Viewing Institution Address | 102 |
| 10.3.6.2 Editing Institution Address | 103 |
| 10.3.7 Extramural Technology Transfer Administration | 105 |
| 10.3.7.1 Viewing Extramural Technology Transfer Administration | 105 |
| 10.3.7.2 Editing Extramural Technology Transfer Administration | 106 |
| 10.4 Institutional Assurances and Certifications | 108 |
| 10.4.0.1 Editing the Assurances and Certifications | 110 |
| 11 Personal Profile Module | 113 |
| 12 Status Module | 114 |
| 12.1 Steps for AOR/SO to Check Submission Status | 114 |
| 12.2 How does an SO track submission status? | 115 |
| 12.3 How Does an SO Reject the eApplication? | 118 |
| 12.4 Steps for SO to Re-assign a Grant | 119 |
| 12.5 Status Result - General Search | 123 |
| 12.6 Status for Program Directors/Principal Investigators (PI Role) | 128 |

| | |
|---|-----|
| 12.6.1 Viewing Recent/Pending eSubmissions | 129 |
| 12.6.2 Viewing the List of Applications/Grants | 131 |
| 12.6.3 Searching by Grants.gov Tracking Number | 135 |
| 12.7 How does a PI track submission status? | 136 |
| 12.8 Status Information | 138 |
| 12.8.0.1 The screen displays the following sections of information: | 140 |
| 12.8.1 Additions for Review | 146 |
| 12.8.2 Administrative Supplements | 148 |
| 12.8.3 Institute/Center PRAM Requests | 149 |
| 12.8.4 Relinquishing Statements | 150 |
| 12.8.5 Closeout FRAM Requests | 151 |
| 12.9 Viewing Summary Statements from Status Information | 152 |
| 12.10 Viewing the Notice of Award (NOA) | 154 |
| 12.11 Closeout Status | 156 |
| 12.11.1 Federal Financial Report (FFR) Module | 159 |
| 12.11.2 Submitting Your Final Invention Statement (FIS) | 160 |
| 12.11.2.1 Reporting Inventions on Your FIS | 160 |
| 12.11.2.2 Claiming No Inventions on Your FIS | 165 |
| 12.11.2.3 Updating Your Saved FIS | 167 |
| 12.11.2.4 Submitting Your FIS | 168 |
| 12.11.3 Submitting Your Final Research Performance Progress Report | 170 |
| To submit your Final RPPR: | 171 |
| 12.11.3.1 Final Progress Report Additional Materials (FRAM) | 173 |
| Uploading Final Report Additional Materials | 174 |
| Submitting FRAM | 176 |
| 12.12 Just in Time (JIT) | 179 |
| 12.12.1 Uploading JIT Information as a PI | 180 |

| | |
|--|------------|
| 12.12.2 Uploading Saving JIT as an SO | 183 |
| 12.12.3 Submitting JIT Information To Agency | 186 |
| 12.12.4 Viewing the Just In Time Report | 187 |
| 12.13 No-Cost Extension (NCE) | 187 |
| 12.14 Change of Institution | 190 |
| 12 Prior Approval Module | 191 |
| 12.15 List My Requests | 192 |
| 12.16 Search for Existing Prior Approval Requests | 194 |
| 12.17 \$500K Requests | 195 |
| 12.18 Withdraw a Grant Application | 200 |
| 12.19 Requesting a No Cost Extension | 205 |
| 12.20 Requesting a Change of PD/PI on a Grant | 211 |
| 12.21 Carryover | 218 |
| 12.21.1 Overview | 218 |
| 12.21.2 Eligibility Criteria | 218 |
| 12.21.3 Required Information and Documents | 218 |
| 12.21.4 Validation on Submission | 219 |
| 12.21.5 No Cost Extension and Carryover | 219 |
| 12.22 Carryover Request Process | 219 |
| 12.22.1 Initiate Carryover Request | 219 |
| 12.22.2 View Saved or Submitted Requests | 222 |
| 12.22.3 Modify Request | 224 |
| 12.23 Route a Prior Approval Request | 227 |
| 12.24 Recall a Prior Approval Request | 228 |
| 12.25 View History of a Request | 228 |
| 13 Research Performance Progress Report (RPPR) Module | 232 |
| 13.1 Manage RPPR Screen | 232 |

| | | |
|----------|--|-----|
| 13.2 | RPPR Menu | 233 |
| 13.3 | Initiating the RPPR | 234 |
| 13.4 | Navigation | 239 |
| 13.5 | How Do I Fill Out the RPPR Forms | 240 |
| 13.6 | Editing the RPPR | 241 |
| 13.6.1 | Accessing Single-Project RPPR for Editing | 243 |
| 13.6.2 | Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing | 244 |
| 13.6.3 | Editing the RPPR Forms | 247 |
| 13.6.4 | Editing Inclusion Enrollment Data | 249 |
| 13.6.4.1 | Changes to Planned Enrollment | 253 |
| 13.6.4.2 | No Inclusion Data Records Provided | 256 |
| 13.6.4.3 | Submit New Planned Inclusion Record | 257 |
| 13.6.4.4 | Inclusion Data Record Statuses | 257 |
| 13.6.4.5 | When Should I Access IMS via the Status Module? | 258 |
| | When to Use the Status Module Instead of RPPR | 258 |
| 13.6.5 | Editing the RPPR Budget Forms | 259 |
| 13.6.5.1 | Budget Form (H.1) | 259 |
| 13.6.5.2 | Subaward Budget Form (H.2) | 259 |
| 13.6.5.3 | DUNS Number | 260 |
| 13.6.5.4 | SF 424 Research and Related Budget | 261 |
| 13.6.5.5 | SF 424 Research and Related Sub Award Budget | 262 |
| 13.6.5.6 | PHS 398 Training Budget | 262 |
| 13.6.5.7 | PHS 398 Training Sub Award | 262 |
| 13.7 | Checking for Errors and Warnings | 262 |
| 13.7.1 | Checking for Errors on Single-Project RPPRs | 262 |
| 13.7.2 | Checking for Errors on a Multi-Project RPPR | 263 |
| 13.8 | Routing the RPPR | 265 |

| | | |
|-----------|--|------------|
| 13.9 | Recalling the RPPR | 266 |
| 13.10 | Viewing the RPPR | 267 |
| 13.11 | Submitting RPPR to Agency | 268 |
| 13.11.1 | Submission Errors & Warnings for Multi-Project RPPRs | 270 |
| 13.12 | RPPR Routing History | 270 |
| 13.13 | Viewing the RPPR in Commons | 271 |
| 13.14 | PD/PI Assurance Report | 274 |
| 13.15 | Submitting Your Final Research Performance Progress Report | 276 |
| 13.15.0.1 | To submit your Final RPPR: | 277 |
| 13.16 | Overview of the Interim RPPR | 279 |
| 13.16.1 | Submitting Your Interim RPPR | 281 |
| | To submit your Interim RPPR: | 281 |
| 13.16.2 | Interim Report Additional Materials (IRAM) | 284 |
| 13.17 | Public Access PRAM | 287 |
| 13.17.1 | Initiating Public Access PRAM | 287 |
| 13.17.2 | Recalling Public Access PRAM | 290 |
| 13.17.3 | Submitting Public Access PRAM | 291 |
| 13.17.4 | View Public Access PRAM for Multi-Year Funded Awards | 294 |
| 13.18 | IC (Agency) Requested PRAM | 295 |
| 13.18.1 | Initiating Agency Requested PRAM | 295 |
| 13.18.2 | Recalling Agency Requested PRAM | 298 |
| 13.18.3 | Submitting Agency Requested PRAM | 299 |
| 13.18.4 | View Agency Requested PRAM from Status Information | 302 |
| 14 | Internet Assisted Review (IAR) | 305 |
| 15 | xTrain | 306 |
| 16 | Administrative Supplement Request | 307 |
| 17 | Change of Institution Overview | 308 |

| | | |
|----------|---|-----|
| 17.1 | Features | 308 |
| 17.2 | Users | 308 |
| 17.3 | Business Rules | 309 |
| 17.3.1 | Eligible Grants | 309 |
| 17.3.2 | Access to Relinquishing Statements | 309 |
| 17.3.3 | Relinquishing Statement Reviewers | 309 |
| 17.3.4 | Relinquishing Statement Routing Order | 309 |
| 17.3.5 | Validation | 310 |
| 17.3.6 | Other Rules | 310 |
| 17.4 | Relinquishing SO Responsibilities | 311 |
| 17.4.1 | Start or Edit a Relinquishing Statement | 311 |
| 17.4.2 | Search for Institution | 315 |
| 17.4.3 | Delete a Relinquishing Statement | 317 |
| 17.4.4 | Route to PD/PI | 318 |
| 17.4.5 | Submit a Relinquishing Statement | 320 |
| 17.5 | Program Director/Principal Investigator Responsibilities | 323 |
| 17.5.1 | Edit Relinquishing Statement | 323 |
| 17.5.2 | Route Relinquishing Statement to SO | 326 |
| 17.5.3 | Signing Official Search/View Relinquishing Statement | 328 |
| 17.5.3.1 | Search for a Grant to Relinquish or to View RS | 329 |
| 17.5.3.2 | Search for Relinquishing Statements Submitted by Former Institution | 333 |
| 17.5.4 | PD/PI Search/View Relinquishing Statement | 335 |
| 17.6 | eMail Notifications | 336 |
| 17.6.1 | eMail to the New Institution Contact eMail Provided on the RS Electronic Form | 336 |
| 17.6.2 | Confirmation eMail to PD/PI & SO from Former Institution Acknowledging NIH Receipt of RS | 337 |
| 17.6.3 | The Relinquishing Statement Routed eMail Notification | 338 |
| 17.6.4 | The Relinquishing Statement Returned eMail Notification | 338 |

| | |
|---|------------|
| 17.6.5 The Relinquishing Statement Acknowledged by NIH eMail Notification | 339 |
| 17.6.6 eMail Acknowledging RS Now Visible to New Institution After IPF is Entered by NIH Internal User | 339 |
| 17.6.7 Change of Institution Time Based Reminders | 340 |
| 17.6.7.1 Change of Institution Application Reminder Notice (30 Days after RS Submit Date) | 340 |
| 17.6.7.2 RS Reminder Notice (30 Days after Change of Institution Application Submit Date) | 341 |
| 17.7 Error Messages | 341 |
| 18 FFR Module | 343 |
| 18.1 What is FFR? | 343 |
| 18.2 Report Submission Due Dates | 343 |
| 18.3 FSR Role in Commons | 343 |
| 18.4 Features of FFR | 344 |
| 18.5 Accessing FFR | 344 |
| 19 Financial Conflict of Interest (FCOI) Module | 346 |
| 19 Non Research Amendments | 347 |
| 19.1 PI Initiate | 347 |
| 19.2 SO Initiate | 349 |
| 19.3 View Amendments | 352 |
| 19.4 Request for Additional Materials - RAM | 355 |
| 20 xTRACT | 358 |
| 21 Reference Letters | 359 |
| 22 Understanding Grant Numbers | 362 |
| 22 ORCID | 363 |

LIST OF FIGURES

| | |
|--|----|
| Figure 1: Welcome to the Commons | 6 |
| Figure 2: Commons Login | 7 |
| Figure 3: Commons Home Page | 8 |
| Figure 4: User Information and Assigned Access Tabs | 8 |
| Figure 5: Federal User Login Link | 9 |
| Figure 6: Network Login Screen for Agency and NIH Users | 10 |
| Figure 7: Commons Landing Page for Federal Users | 11 |
| Figure 8: User Information and Assigned Access Tabs (SRO) | 11 |
| Figure 9: Institution Name Displayed as a Link for Multiple Affiliations | 13 |
| Figure 10: Change Affiliation Screen | 13 |
| Figure 11: User Information with Updated Affiliated Institution | 13 |
| Figure 12: Commons Logout Link | 14 |
| Figure 13: Change Password Screen | 18 |
| Figure 14: Change Password Confirmation | 18 |
| Figure 15: Forgot Password/Unlock Account Link | 20 |
| Figure 16: Reset Password Screen | 20 |
| Figure 17: Change Password Screen | 22 |
| Figure 18: Changing an Expired Password | 23 |
| Figure 19: Commons User Roles Diagram | 26 |
| Figure 20: Commons Navigation Bar | 33 |
| Figure 21: Commons Demo Facility Link | 34 |
| Figure 22: Create a New Demo Account Screen | 35 |
| Figure 23: Confirm the New Demo Account | 36 |
| Figure 24: Demo Account Created | 36 |
| Figure 25: Register Grantee Organization Link | 38 |
| Figure 26: Online Registration Screen | 39 |

| | |
|--|----|
| Figure 27: Register Institution Screen | 40 |
| Figure 28: Online Registration | 41 |
| Figure 29: IPF Assignment View | 42 |
| Figure 30: Registration Information | 43 |
| Figure 31: Registration Successful | 43 |
| Figure 32: Account List Screen | 45 |
| Figure 33: Continuous Submission Eligibility Screen for Selected PI | 46 |
| Figure 34: My Delegates Screen - Delegate Progress Report Link | 53 |
| Figure 35: Search to Delegate Progress Report Authority on Behalf of a PI | 54 |
| Figure 36: Delegate Progress Report Third Party Delegator Search Results | 54 |
| Figure 37: Delegate Progress Report Third Party Delegatee Search Results | 55 |
| Figure 38: Delegate Progress Report Screen and Checkbox | 55 |
| Figure 39: Updated Search Results Show Progress Report Authority for Selected User | 56 |
| Figure 40: My Delegates - Delegate Sponsor Link | 57 |
| Figure 41: Search to Delegate Sponsor Authority on Behalf of a Sponsor User | 57 |
| Figure 42: Delegate Sponsor Third Party Delegator Search Results | 58 |
| Figure 43: Delegate Sponsor Third Party Delegatee Search Results | 59 |
| Figure 44: Delegate Sponsor Screen and Checkbox | 59 |
| Figure 45: Updated Search Results Show Sponsor Authority for Selected User | 59 |
| Figure 46: Delegate Progress Report And Delegate Sponsor Links | 60 |
| Figure 47: Search to Revoke Progress Report Authority on Behalf of a PI | 61 |
| Figure 48: Third Party Delegator Search Results for Revoking Authority | 61 |
| Figure 49: Third Party Delegatee Search Results | 62 |
| Figure 50: Unchecked Progress Report Box for Revoking Authority | 62 |
| Figure 51: Institution Delegation Link for Granting Submit Progress Report Authority | 63 |
| Figure 52: Candidates for Submit Progress Report Delegation | 64 |
| Figure 53: Grant Delegation(s) Button | 65 |

| | |
|---|----|
| Figure 54: Delegation of Authority for Applicant Organization Certification and Acceptance | 66 |
| Figure 55: Institution Delegations Screen with Updated Current Submit Progress Report Delegations | 66 |
| Figure 56: Institution Delegation Link for Revoking Submit Progress Report Authority | 67 |
| Figure 57: Current Submit Progress Report Delegations | 68 |
| Figure 58: Revoke Delegation(s) Button | 69 |
| Figure 59: Confirmation for Revoking Submit Progress Report Authority | 70 |
| Figure 60: Institution Delegations Screen after Revoking User's Delegation | 70 |
| Figure 61: My Delegates Screen - Search or Add Delegate Link | 71 |
| Figure 62: Search for Delegates | 72 |
| Figure 63: Select Link on the Search for Delegates Search Results | 73 |
| Figure 64: Delegate Authority (Authorities) Screen | 73 |
| Figure 65: Delegated Authorities Displayed in Search Results | 74 |
| Figure 66: My Current Delegations with Added Delegates | 74 |
| Figure 67: Search or Add Delegates Link | 75 |
| Figure 68: Search for Delegates Search Results | 76 |
| Figure 69: My Current Delegates - Select Link | 76 |
| Figure 70: Delegated Authorities are Updated by Selecting or Unselecting Checkboxes | 77 |
| Figure 71: My Current Delegates | 78 |
| Figure 72: Unselecting the Checkbox Removes the Delegation | 78 |
| Figure 73: Revoked Authorities are Removed from My Current Delegations | 78 |
| Figure 74: Sample Institution Profile | 79 |
| Figure 75: Institution Profile Dashboard | 80 |
| Figure 76: Personal Profile Online Help Icons | 82 |
| Figure 77: Institution Profile (Basic Information) View Options | 83 |
| Figure 78: Institution Profile Edit Options | 84 |
| Figure 79: Institution Profile (Basic Information) in Edit Mode | 85 |
| Figure 80: Institution Basic Information | 86 |

| | |
|---|-----|
| Figure 81: Institution Profile Summary Indicating Missing Information | 87 |
| Figure 82: Institution Profile Error Message Within the Specific Component | 87 |
| Figure 83: View, View All, & Edit Buttons on Institution Profile (Basic Information) | 88 |
| Figure 84: Institution Name Component of IPF in View Mode | 89 |
| Figure 85: Institution Name Component of IPF in Edit Mode | 89 |
| Figure 86: Institution Contact Information Component of IPF in View Mode | 91 |
| Figure 87: Institution Contact Information Component of IPF in Edit Mode | 92 |
| Figure 88: About the Institution Component of IPF in View Mode | 94 |
| Figure 89: About the Institution Component of IPF in Edit Mode | 95 |
| Figure 90: Secondary DUNS Text Fields Display when Add Button is Selected | 96 |
| Figure 91: Removing a Secondary DUNS | 96 |
| Figure 92: Federal-Wide Assurance Number Text Field Displays when Add Button is Selected | 97 |
| Figure 93: Removing an FWA Number | 98 |
| Figure 94: Indirect Cost Negotiations Component of IPF in View Mode | 99 |
| Figure 95: Indirect Cost Negotiations Component of IPF in Edit Mode | 100 |
| Figure 96: Signing Official & TTO Administrator Component of IPF | 102 |
| Figure 97: Institution Address Component of IPF in View Mode | 103 |
| Figure 98: Institution Address Component of IPF in Edit Mode | 104 |
| Figure 99: Extramural Technology Transfer Administration Component of IPF in View Mode | 106 |
| Figure 100: Extramural Technology Transfer Administration Component of IPF in Edit Mode | 107 |
| Figure 101: Institutional Assurances and Certifications in View Mode | 109 |
| Figure 102: Edit Assurances and Certifications Button | 110 |
| Figure 103: Editing Institutional Assurances and Certifications | 112 |
| Figure 104: Reject eApplication Link | 118 |
| Figure 105: Reject eApplication Screen | 119 |

| | |
|--|-----|
| Figure 106: Status Result - General Search | 124 |
| Figure 107: Status Screen for PI Users | 128 |
| Figure 108: Recent/Pending eSubmissions Option in Status | 129 |
| Figure 109: Status Result - Recent/Pending eSubmissions | 130 |
| Figure 110: List of Applications/Grants Links in Status | 131 |
| Figure 111: Status Result - List of Applications/Grants | 132 |
| Figure 112: Sample of an Expanded Grant Family on Status List of Applications/Grants | 132 |
| Figure 113: Search by Grants.gov Tracking Number | 135 |
| Figure 114: Grants.gov Tracking Number Search Results in Status | 136 |
| Figure 115: Status Information Screen | 140 |
| Figure 116: Contacts Section of Status Information | 140 |
| Figure 117: Additions for Review from Status Information | 147 |
| Figure 118: Administrative Supplements from Status Information | 148 |
| Figure 119: Institute/Center PRAM Requests from Status Information | 149 |
| Figure 120: Relinquishing Statements from Status Information | 150 |
| Figure 121: Closeout FRAM Requests from Status Information | 152 |
| Figure 122: List of Applications/Grants Links in Status | 153 |
| Figure 123: Application ID Link | 153 |
| Figure 124: Summary Statement Link in Status Information | 154 |
| Figure 125: List of Applications/Grants Links in Status | 155 |
| Figure 126: Application ID Link | 155 |
| Figure 127: Notice of Award Link in Status Information | 156 |
| Figure 128: Sample Closeout Status Screen for a PI | 158 |
| Figure 129: Sample Closeout Status Screen for an SO | 159 |
| Figure 130: Process Final Invention Statement Link for an SO | 161 |
| Figure 131: Process Final Invention Statement Link for a PI | 161 |
| Figure 132: SO View - Select the Yes Button to Report an Invention | 162 |

| | |
|---|-----|
| Figure 133: PI View - Select the Yes Button to Report an Invention | 162 |
| Figure 134: SO View - FIS Saved Invention | 163 |
| Figure 135: PI View - FIS Saved Invention | 163 |
| Figure 136: Saved FIS on Closeout Status | 164 |
| Figure 137: SO View - Process Final Invention Statement Link | 165 |
| Figure 138: PI View - Process Final Invention Statement Link | 166 |
| Figure 139: SO View - Selecting the No Button to Indicate No Inventions | 166 |
| Figure 140: PI - View Selecting the No Button to Indicate No Inventions | 167 |
| Figure 141: Process Final Invention Statement Link | 168 |
| Figure 142: Select the Change Button to Update Your FIS | 168 |
| Figure 143: Process Final Invention Statement Link | 169 |
| Figure 144: Submit Button for FIS | 169 |
| Figure 145: Closeout Status Showing Submitted FIS | 170 |
| Figure 146: FRAM Update Link | 174 |
| Figure 147: Add Attachment Button for FRAM | 175 |
| Figure 148: FRAM Successfully Uploaded | 176 |
| Figure 149: FRAM Uploaded Status on Closeout | 176 |
| Figure 150: FRAM Update Link on Uploaded FRAM | 177 |
| Figure 151: Submit Button on FRAM Screen | 178 |
| Figure 152: FRAM Submission Certification | 178 |
| Figure 153: FRAM Submission Success Message | 179 |
| Figure 154: Just in Time Screen | 182 |
| Figure 155: File Uploaded for JIT | 182 |
| Figure 156: Just in Time Screen | 184 |
| Figure 157: Uploading Files for JIT | 185 |
| Figure 158: File Uploaded for JIT | 185 |
| Figure 159: Number of Submissions for JIT | 187 |

| | |
|---|-----|
| Figure 160: Just In Time Report Link Within Status Information | 187 |
| Figure 161: Extension Screen | 189 |
| Figure 162: Extension Confirmation | 189 |
| Figure 163: Commons Home screen tab | 191 |
| Figure 164: View History screen as seen by PIs | 229 |
| Figure 165: View History screen as seen by SOs | 230 |
| Figure 166: Search for Requests | 230 |
| Figure 167: click View History | 230 |
| Figure 168: View History page | 231 |
| Figure 169: List My Requests | 231 |
| Figure 170: PD/PI Assurance Report Link on Manage RPPR | 275 |
| Figure 171: PD/PI Assurance Report Search Results for a Specific PI | 275 |
| Figure 172: PD/PI Assurance Search Results for a Date Range | 276 |
| Figure 173: Recall Button for Public Access PRAM | 291 |
| Figure 174: Recall Button for Agency Requested PRAM | 299 |
| Figure 175: Commons Status Screen Displaying Change of Institution Link | 311 |
| Figure 176: Status - Change of Institution Search Screen | 312 |
| Figure 177: Status Result - Change of Institution Screen | 312 |
| Figure 178: Starting a New Relinquishing Statement | 313 |
| Figure 179: RS in Accepted for Consideration Status | 313 |
| Figure 180: Manage Relinquishing Statement Screen Displaying Edit Feature | 314 |
| Figure 181: Relinquishing Statement Screen | 314 |
| Figure 182: New Institution - Search Screen | 315 |
| Figure 183: New Institution - Search Screen | 316 |
| Figure 184: New Institution - Search Result Screen | 316 |
| Figure 185: Inserting New Institution | 317 |
| Figure 186: Manage Relinquishing Statement Screen Displaying Delete Feature | 317 |

| | |
|--|-----|
| Figure 187: Delete Relinquishing Statement Screen Displaying Delete Message | 318 |
| Figure 188: Route Relinquishing Statement Screen | 319 |
| Figure 189: Route Relinquishing Statement Screen | 319 |
| Figure 190: Manage Relinquishing Statement Screen | 320 |
| Figure 191: Relinquishing Statement Screen | 321 |
| Figure 192: Submit Relinquishing Statement To NIH Screen | 322 |
| Figure 193: Manage Relinquishing Statement Screen | 323 |
| Figure 194: Status Result - List of Applications/Grants Screen | 324 |
| Figure 195: Relinquishing Statement Screen | 325 |
| Figure 196: Relinquishing Statement Screen | 326 |
| Figure 197: Route Relinquishing Statement Screen | 327 |
| Figure 198: Route Relinquishing Statement Screen with OK Button | 328 |
| Figure 199: Status Screen Displaying Change of Institution Link | 328 |
| Figure 200: Status – Change of Institution Screen | 329 |
| Figure 201: Search for Grants Section on Status Results – Change of Institution Screen | 329 |
| Figure 202: Status Result - Change of Institution Screen | 330 |
| Figure 203: Manage Relinquishing Statement Screen | 330 |
| Figure 204: Action Column on Manage Relinquishing Statement Screen | 330 |
| Figure 205: Relinquishing Statement Screen | 331 |
| Figure 206: Relinquishing Statement PDF | 332 |
| Figure 207: Action Column on Manage Relinquishing Statement Screen | 332 |
| Figure 208: View Routing History Screen | 333 |
| Figure 209: Searching for Relinquishing Statements Submitted by the Former Institution | 333 |
| Figure 210: Status Results - Search for Relinquishing Statements Screen | 334 |
| Figure 211: View Relinquishing Statement Screen | 334 |
| Figure 212: Status Result - List of Applications/Grants Screen | 335 |
| Figure 213: Status Information Screen Displaying the Relinquishing Statement Hyperlink ... | 336 |

| | |
|---|-----|
| Figure 214: Relinquishing Statements Screen | 336 |
| Figure 215: Submit Reference Letter Link | 360 |
| Figure 216: Submit Reference Letter Screen | 361 |

1 About eRA Commons

eRA Commons (Commons) is an online interface where grant applicants, grantees, and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants.

NIH extramural grantee organizations, Operating Divisions (OpDivs), grantees, and the public are the primary users of Commons, and each type of user is assigned a specific role (or roles). Depending on your role, you may perform a variety of functions in Commons, including:

- Track the status of your grant application through the submission process, while viewing errors and/or warnings and checking the assembled grant image.
- View summary statements and score letters following the initial review of your application
- View the notice of award (NoA) and other key documents.
- Submit Just-in-Time (JIT) information required by the grantor agency prior to a final award decision.
- Submit the required documentation, including the Financial Status Report/Federal Financial Report and Final Research Performance Progress Report (Final RPPR) to close out your grant.
- Submit a No-Cost Extension notification that the grantee has exercised its one-time authority to extend without funds the final budget period of a grant.
- Submit an annual progress report electronically.
- Manage personal and institutional profiles.

NOTE: All attachments should be submitted in PDF format with a maximum size of 6MB.

1 Latest Updates

1.0.1 September 20, 2017

Awarding agencies will be able to request additional materials for an Interim RPPR from the principal investigator (PI) and signing official (SO) via eRA Commons. In turn, the SO will be able to submit the additional materials via eRA Commons, in a process that is similar to the Final Progress Report Additional Materials (FRAM) process.

See the section on [Interim Report Additional Materials](#).

1.0.2 August 22, 2017

Personal Profile Module - Education

- The *Residency* information in the [Education](#) section of the Personal Profile has been replaced by *Post-doctoral Clinical Training Information*.

1.0.3 June 8, 2017

[Carryover](#) requests have been added to the *Prior Approval* module. The steps to electronically request a Carryover request mirror the *No Cost Extension* request process.

1.0.4 June 1, 2017

- Eligible SBIR/STTR grants will now have links to *Interim* and *Final RPPRs*. Review the [Interim RPPR](#) and [Final RPPR](#) sections for details.
- Format of Interim RPPR pop-up updated to contrasting color.
- Updated enforcement of SO restrictions on closeout links, main search page, JIT, FRAM, and FIS pages.

1.0.5 April 10, 2017

Security and validation updates.

URLs for "http://grants.gov..." sites updated to secure HTTP (i.e. https://grants.gov...).

1.0.6 February 23, 2017

Prior Approval - Users may now request a [change of the PD/PI](#) on a grant.

1.0.7 February 21, 2017

Prior Approval - Users may now request a [No Cost Extension](#) (NCE) via Prior Approval.

1.0.8 February 1, 2017

New instructions issued for [Submitting Your Final Research Performance Progress Report](#).

1.0.9 January 19, 2017

SAMHSA grantees will now use [ASSIST](#) for non-competing continuation applications (non-research only). They will initiate the application in eRA Commons and prepare and submit it in ASSIST. Grantees will be able to track the application in eRA Commons through *Status*; they will also be able to manage their entire non-competing continuation process for their grant using a new *Manage Continuations* sub-tab in eRA Commons. Requisite changes will also be made to the Grant Folder.

1.0.10 January 17, 2017

The [Status Information](#) screen has been reworked to incorporate an updated look and feel and to consolidate information on applications into one consolidated landing page. This is part of a burden reduction effort and should alleviate a great deal of searching and the need to access multiple screens for the bulk of the application-related information.

1.0.11 January 1, 2017

Use of Final RPPR: eRA made changes to eRA Commons, RPPR, Inclusion Management System, and the Grant Folder to accommodate the Final Research Performance Progress Report (Final RPPR) replacing the Final Progress Report in eRA Commons effective Jan. 1, 2017 (for all grantees, except small businesses). See the [Dec. 20 News](#) and [Nov. 23 News](#).

1.0.12 December 2016

The *Final Research Performance Progress Report* ([Final RPPR](#)) will replace the Final Progress Report (FPR) for grants closeout, effective January 1, 2017. The Final RPPR will be available for use in eRA Commons on January 1, 2017.

The format of the Final RPPR is very similar to that of the annual RPPR. The notable differences are that the Final RPPR only uses section D.1 for "Participants" and does not use sections F (Changes), and H (Budget). Additionally, the Final RPPR does have a new section: Section I (Outcomes).

Project Outcomes (Section I) will be made publicly available, allowing recipients the opportunity to provide the general public with a concise summary of the public significance of the research.

The deadlines for submitting a Final RPPR remain the same – no later than 120 days from the project end date.

NIH will maintain the business rule that allows the Signing Official (SO) to delegate the submission of the Final RPPR or Interim-RPPR to a Program Director/Principal Investigator (PD/PI).

1.0.13 October 2016

- SAMHSA will now use *Commons* to initiate, track, and manage the progress of non-research amendment applications.

- This functionality will now be found in the "[Manage Post Award Amendments](#)" module under the "Non-Research" tab for eligible users.
- When a user initiates a non-research amendment in Commons, the system will open up the application in ASSIST, with the appropriate forms, and the completion and submission of the application will happen there.
- Subsequent to submission, the user will continue to:
 - Track the application process
 - Submit, view, and edit "Requests for Additional Materials" (RAM)
 - View amendments in Commons.
- **New Non-Research Tab Has Been Added to the Top Navigation**
 - As part of the expansion of eRA services to other federal agencies, the Non-Research tab has been added for recipients of SAMHSA (Substance Abuse and Mental Health Services Administration) non-research grants.
 - The new tab is located after eRA Partners.
 - Only those who receive SAMHSA non-research grants will need to access this tab to manage post award amendments.

2 Welcome to Commons!

Access Commons by entering the following address into your web browser:

<https://commons.era.nih.gov/commons/>

The *Welcome to the Commons* screen displays important and potentially new information to users. Take a moment to review the information provided on the screen. This information includes:

- **Commons Login**

Enter your Username and Password to access the Commons system and modules.

- **eRA Service Desk**

The hours, website address, and phone number of the eRA Service Desk is provided in this area.

- **System Notification Message**

Read the messages displayed here to find out if system outages exist or to access the eRA Scheduled Maintenance Calendar.

- **Supported Related Resources**

Useful links for avoiding Commons errors, self-help resources, electronic and application submission as well as the link for the eRA Home Page can be found in this area.

- **Commons Related Resources**

Links for submitting a reference letter and for accessing the Commons Demo are located in this area.

- **Register Grantee Organization**

Click this link to register your organization. [Refer to the section of this document titled *Registering Institutions and Organizations* on Page 37.](#)

- **About the Commons**

Check this area for links to Commons Frequently Asked Questions, training, the latest Release Notes, etc.

• Additional Links

Useful links such as to Grants.gov, iEdison, NIH, Loan Repayment, and others can be found in this area.

Commons Login ?

*Required field(s)

*Username

*Password

Login Reset

(For External Users Only)

(For External Users)

[Forgot Password/Unlock Account?](#)

Federated Institutions/Organizations ?

Select.. Sign in

Federal User Login [Here](#)

eRA Service Desk

Hours: Mon-Fri, 7AM-8PM EDT/EST

Web: <http://grants.nih.gov/support>

Toll-free: 866-504-9552

Phone: 301-402-7469

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Welcome to the Commons

System Notification Message

All systems are currently available.

Scheduled Commons Maintenance: For maintenance information, see the [eRA Scheduled Maintenance Calendar](#)

Support Related Resources

- Electronic Submission: Learn about the most frequent application errors at [Avoiding Common Errors](#).
- Electronic Application Submission: To learn about completing and submitting an electronic grant application and access helpful resources, visit the [Applying Electronically website](#).
- eRA Home Page: To find Commons [FAQs](#), [User Guides](#), training materials, and step-by-step instructions for performing tasks in Commons, visit the [eRA website](#).

Commons Related Resources

- Reference Letters: To submit a reference letter when requested by an applicant, please follow this link: [Submit Reference Letter](#)
- Demo Facility: [Demo Facility](#) allows you to try most of the capabilities of the NIH eRA Commons in a sample environment.

Privacy Act Statement

This is a U.S. Government computer system, which may be accessed and used only for authorized Government business by authorized personnel. Unauthorized access or use of this computer system may subject violators to criminal, civil, and/or administrative action. Use of the eRA Commons website requires gathering personal information as part of the NIH grant proposal submission and administration process. Grant proposals are treated as confidential until awards are made. Upon award, the title, principal investigator name(s), abstracts, and award amount are disclosed publicly. Other information may be made available within and outside the NIH through routine uses, as described in SORN 09-25-0036, or, subject to the provisions of the Freedom of Information Act 5 U.S.C. 552. Your activity while using this site is not anonymous: to protect the site, NIH tracks the IP address and login information that is used for access, as well as the individual pages you visit. The IP address is used to help verify user ID and to provide information specific to the user's interest and/or to respond to user queries. A more detailed notice is provided [Here](#).

Register Grantee Organization

About the Commons

- [Frequently Asked Questions](#)
- [Latest Release Notes](#)

Additional Links

- [RePORT](#)
- [Grants.gov](#)
- [iEdison](#)
- [National Institutes of Health](#)
- [Public Access Policy Page](#)
- [Loan Repayment Program](#)
- [Commons Quick Queries](#)

2.1 Logging into Commons

Commons requires users to enter a unique user ID (from 6 to 20 characters) and password for authentication. [Refer to the section of this document titled *Password Policy* on Page 18](#) for additional password-related information.

The Commons Login area of the screen allows for two types of user to log into Commons: the external Commons user and the internal NIH or Agency user. For steps related to external users, please refer to the section of this document titled [Accessing Commons with a Commons User ID](#). For steps related to internal users (such as NIH, SRO, agency users, etc.) please refer to the section of this document titled [Accessing Commons with a Network ID \(NIH or Agency\)](#).

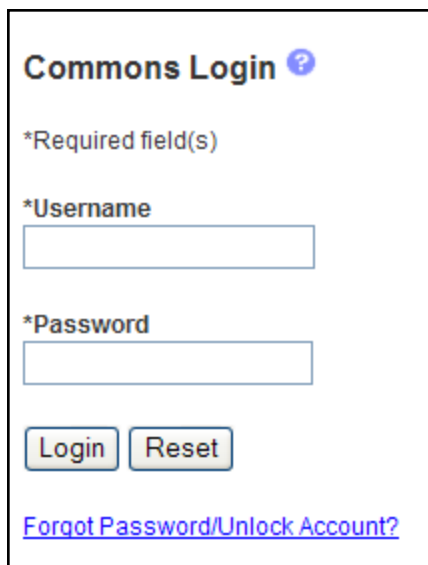
Accessing Commons with a Commons User ID

2.1.1 Accessing Commons with a Commons User ID

If you have been provided with a Commons User ID, you may log into Commons using the **Commons Login** section of the log-in page.

To log into Commons:

1. Navigate to the Commons system on the internet.
2. Under **Commons Login**, enter your username in the **Username** field.
3. Enter your password in the **Password** field
4. Click the **Login** button.

A screenshot of the Commons Login form. The form has a title "Commons Login" with a blue question mark icon. Below the title is a red asterisk and the text "*Required field(s)". There are two input fields: one labeled "*Username" and another labeled "*Password". Below the input fields are two buttons: "Login" and "Reset". At the bottom of the form is a blue hyperlink that reads "Forgot Password/Unlock Account?".

Commons Login ?

*Required field(s)

*Username

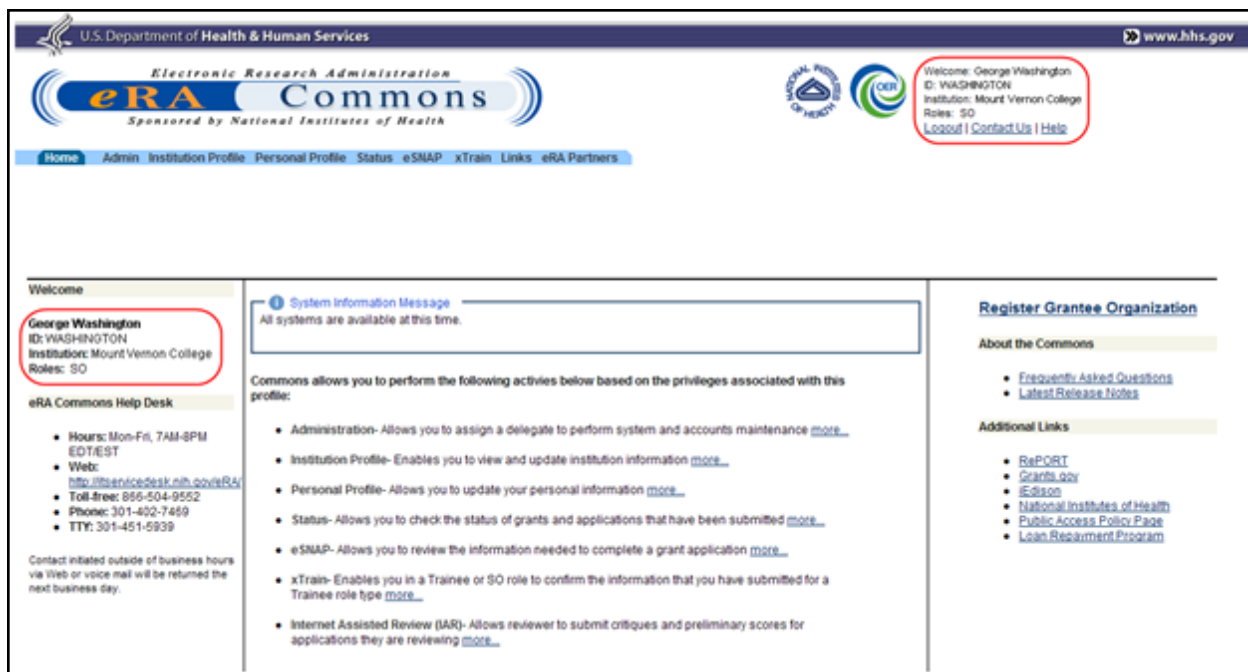
*Password

Login Reset

[Forgot Password/Unlock Account?](#)

NOTE: For security purposes, all passwords will display as asterisks (*) as they are entered. The Commons system will lock users out after three (3) unsuccessful login attempts.

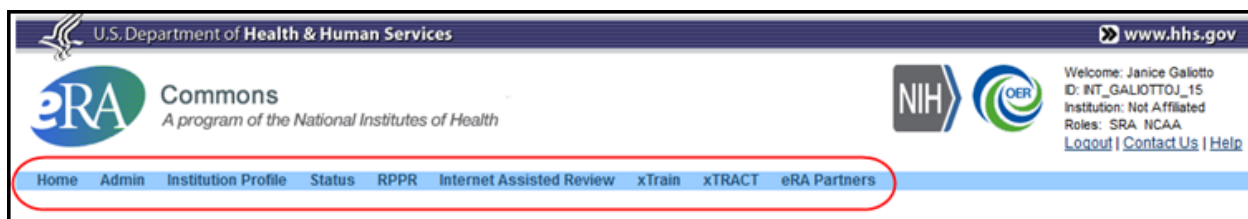
A successful login will show the username, institution, and your user roles in the **Welcome** section of the screen as well as in the upper right corner of every Commons screen.



IMPORTANT: Are you affiliated with multiple institutions? Make sure that the correct institution is displayed after you log in. This will affect the information you can access in Commons. Refer to the topic called *Changing the Displayed Affiliated Institution on Page 12* for more information.

After you have signed into Commons, you may access the various tabs, links, and help screens, as well as other available links.

NOTE: The modules accessible to a user depend on that user's role and privileges. The image below is only a sample of possible options.



Accessing Commons with a Network ID (NIH or Agency)

If you are an internal NIH or Agency user accessing Commons, you will use your Network ID to log into the system. Your Network ID is that which you use to sign onto your computer.

NOTE: Your Network ID is not your IMPAC II User Name.

IMPORTANT: Some examples of federal users who may need to access Commons include Office of Financial Management (OFM) staff who review grantees' Federal Financial Reports (FFRs); administrators who manage/review appointments in xTRAIN; and Scientific Review Officers (SROs).

All Commons users – including federal staff – must have a Commons role in order to log in to Commons.

To log into Commons using your Network ID:

1. Navigate to the Commons system on the internet.
2. Find the section marked **Federal User Login Here**. Click the word **Here**, which is displayed as a hyperlink.

Commons Login ?

*Required field(s)

*Username

*Password

[Forgot Password/Unlock Account?](#)

Federated Institutions/Organizations ?

N/A ▼

Federal User Login [Here](#)

The network login screen displays. If this is the first time accessing the system using the network log in, you are directed to synchronize your network account with your IMPAC II account. For

more information on synchronizing accounts, please refer to the instructions located at http://inside.era.nih.gov/single_network/single_login.cfm.

3. From the Network ID login page, insert your PIV card into your card reader.

–OR–

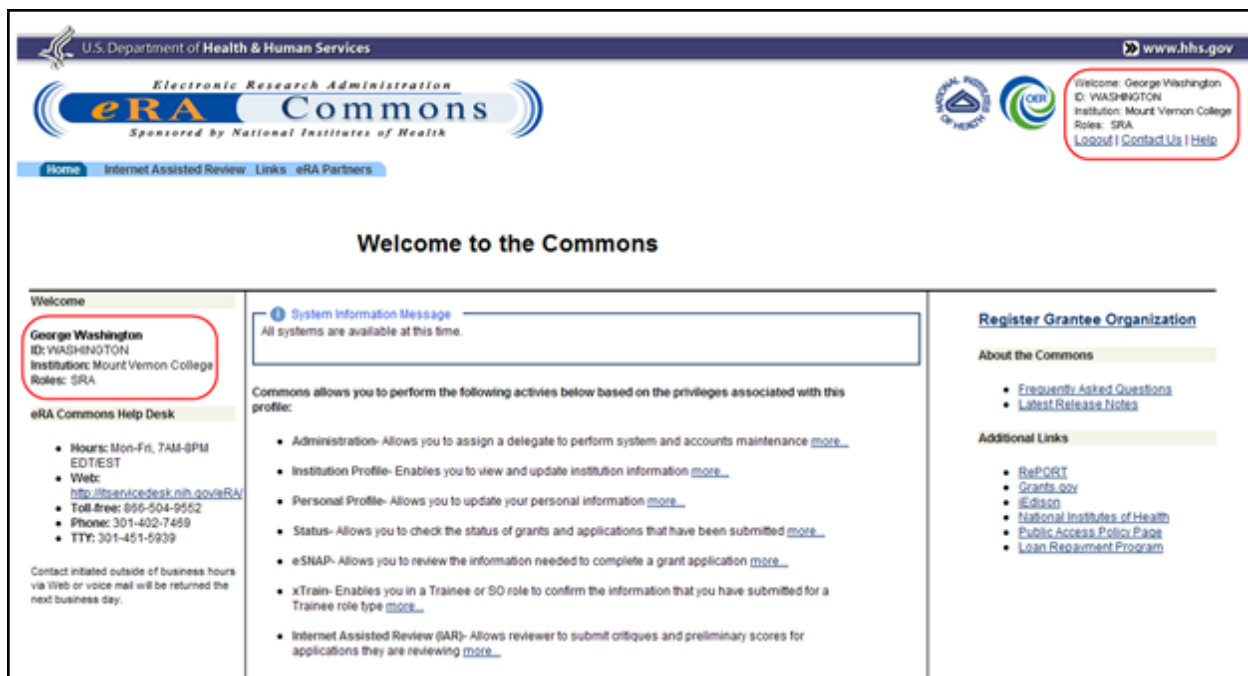
Enter your Network User Name and Password fields and press the Log in button.

Alternatively, you may select Login. Do not enter your IMPAC II credentials on this screen.

The screenshot shows the eTrust (Dev) NIH Secure Identity Solutions login page. The page has a yellow header with the eTrust logo and the text '(Dev) NIH SECURE IDENTITY SOLUTIONS'. Below the header, there are two login options separated by a vertical line with an 'OR' in a yellow circle. On the left, there is a login form with fields for 'User Name' (containing 'GeoWash_NIH') and 'Password' (masked with asterisks). Below the password field is a 'Log in' button. To the right of the password field is a link that says 'Change Password'. On the right, there is a section for PIV card login. It includes an image of a PIV card and text that says 'Insert your PIV card into your smart card reader before attempting to login.' Below this is a link that says 'For assistance, read the instructions for using smart cards and certificates with NIH Login (PDF, 21 pages, 726 KB)'. Below the link is a 'Log in' button. Below the login options is a 'Warning Notice' section. It contains text that says 'This is a U.S. Government computer system, which may be accessed and used only for authorized Government business by authorized personnel. Unauthorized access or use of this computer system may subject violators to criminal, civil, and/or administrative action.' Below this is another paragraph that says 'All information on this computer system may be intercepted, recorded, read, copied, and disclosed by and to authorized personnel for official purposes, including criminal investigations. Such information includes sensitive data encrypted to comply with confidentiality and privacy requirements. Access or use of this computer system by any person, whether authorized or unauthorized, constitutes consent to these terms. There is no right of privacy in this system.' At the bottom of the page, there is a footer that says 'If you need assistance - Please call the NIH IT Service Desk 301-496-4357 (6-HELP); 866-319-4357 (toll-free) or [Submit a Help Desk Ticket](#)'. Below the footer are three logos: the NIH logo, the CIT logo, and the NIH logo.

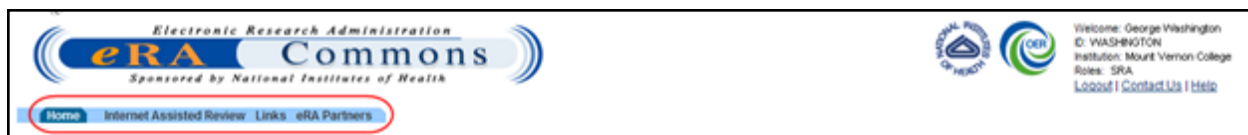
NOTE: For security purposes, all passwords display as asterisks (*) when entered.

A successful login will show the username, institution, and your user roles in the **Welcome** section of the screen as well as in the upper right corner of every Commons screen.



After you have signed into Commons, you may access the various tabs, links, and help screens, as well as other available links.

NOTE: The modules accessible to a user depend on that user's role and privileges. The image below is only a sample of possible options.



2.1.2 Session Expiration

If you are going to be away from your computer for an extended period, save any changes and log out of the system. Work sessions expire after 45 minutes of inactivity. At that time, the system returns to the Commons Login screen.

2.2 Switching Institutions

Are you a PI who has switched institutions?

PIs moving from one institution to another do not need to establish a new Commons account. In fact, if you are a PI, you should maintain a single Commons account throughout your career. You'll just need to affiliate your new institution to your existing Commons account.

There are many benefits to maintaining a single Commons account including:

- Your grant record history will be kept together instead of being split across multiple accounts
- If you have served as a Reviewer, your service on study sections will be recorded properly and will be accounted for in determining eligibility for continuous submission (**Policy:** https://grants.nih.gov/grants/peer/continuous_submission.htm)
- Records maintained by NIH will be more accurate
- With one account, your degree information will be kept in one place and is more likely to be reviewed in consideration for Early Stage Investigator eligibility

Follow these steps if you switch institutions:

1. Request that the SO at your new institution/organization affiliate your existing Commons account with your new university/organization. You will need to provide the SO with your Commons ID.

The SO can follow the steps listed in the [Create Affiliation](#) topic of the Accounts Management System Online Help.

2. If you have left the other institution/organization, request that the SO at your old institution/organization disaffiliate you from that institution.

NOTE: It is possible to have multiple affiliations tied to one Commons account. You do not need to disaffiliate your account from the first institution if you still remain there.

3. Contact the [eRA Service Desk](#) if you realize that you have more than one Commons account. They can help you merge the accounts together.
4. Keep your [Commons Personal Profile](#) updated. This includes the address fields and the end dates of your employment.

IMPORTANT: While a PI can keep the same Commons account when switching institutions, system users with the SO role must create a new account within the new institution/organization.

2.3 Changing the Displayed Affiliated Institution

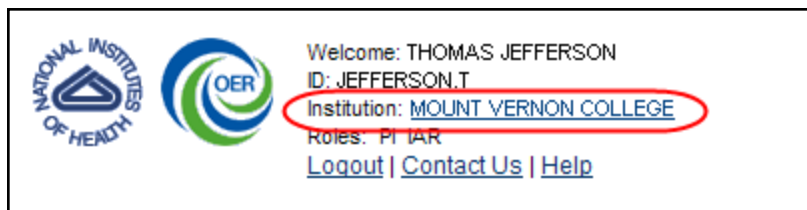
If you are a PI affiliated with more than one institution, it is important to check which institution is currently selected when you log into Commons. You will only be able to access the information pertaining to the selected institution. Your selected institution is displayed under your user ID information in the upper right corner of the Commons screens.

To select a specific institution to work with in Commons:

1. Log into Commons.

If affiliated with multiple institutions, the name of the default institution displays as a link within the upper right corner of each Commons page.

2. Click on the link displaying the name of the institution.

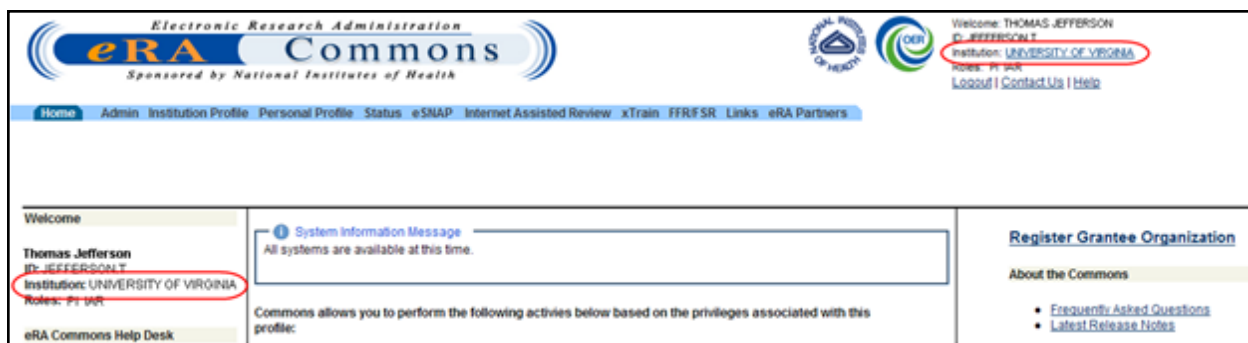


The *Change Affiliation* screen opens. This screen lists the names of all institutions with which you are affiliated.

3. Select the radio button of the institution.
4. Click the **Submit** button.



The Commons home page displays, with the **Institution** fields updated to the selected affiliated institution.



The grant and institution information displayed on the Commons screens is for the selected institution only. To switch to another institution, repeat the steps above.

NOTE: Changing the institution is accomplished from any screen in Commons; the Welcome area in the upper right displays the Institution name as a link on all screens, not just on the Commons' home page.

2.4 Logging out of Commons

Upon completion of any work, edits, updates, submissions or administrative changes, it is best to log off/sign out from the Commons system before closing the browser. The **Logout** link is located in the upper right corner of each screen.



3 Federated Institutions/Organizations Sign In

eRA Commons is piloting Institution/Organization Log In functionality. This pilot is limited to those organizations currently registered with the Center for Information Technology (CIT). This piloted feature allows limited users at these registered institutions/organizations (herein referred to as organizations) participating in the Commons Federation to use their organization's credentials to log into the Commons system.

This topic provides information on the following:

- Federated log in with a linked Commons account
- Linking your Commons account
- Trouble-shooting issues linking your accounts

IMPORTANT: This is a pilot program. Not all Commons users will be able to use this feature.

3.1 *Accessing Commons with Your Organization Credentials*

1. Navigate to the Welcome to the Commons page.
2. In the Federated Institutions/Organizations section of the log in panel, select the appropriate organization from the drop-down list.
3. Select the Sign In button.
4. Your organization's sign in page displays.
5. Enter your credential information (e.g., username and password) as appropriate to your organization.

This information -and screen- is managed by your own organization and not by eRA Commons. If you do not know your credentials at your institution or you are having trouble with your institution's log in screen, you will need to contact your institution. eRA cannot help you with this screen.

Validations will occur with your organization to authenticate your credentials. Any failure to authenticate your organization credentials must be addressed with your organization.

If Commons determines that your organization credentials are associated with a your Commons ID, you will be successfully logged into Commons and can start using the system. If your accounts are not linked, you will be prompted to do so.

If your organization credentials are not linked to your Commons ID:

If Commons determines that your organization credentials are not linked to a Commons user account, you will be prompted to do so via the Link Institution/Organization Credentials

with eRA User ID screen.

1. Enter your Commons User ID and password.
2. Select the **Continue** button.

If successful, your Commons User ID will be linked to your organization's credentials, and you will be able to log into Commons using the Federated Institutions/Organizations section and by entering your organization credentials.

If Commons cannot authenticate the Commons user ID or password you provided, the following message will display: Either the information entered is invalid or you are not enrolled in the eRA Commons. To keep your information secure, we may lock your account if you continue to enter incorrect login information. Please see your organization's account administrator for assistance (ID: 200523).

Other issues may prevent Commons from linking your accounts. Please read all messages and tips that appear on the screen during this process. You may also refer to the section below titled [Why Can't I Link My Commons Account? on Page 16](#) for help.

IMPORTANT: During this pilot, some of the features within eRA Commons system will be limited to users logging in with their Institution/Organization credentials. If you encounter difficulties accessing features within eRA Commons system, please log in using your eRA User ID and password.

3.2 Why Can't I Link My Commons Account?

If you are with an organization participating in the Commons Federation, but you are having trouble linking your Commons account to your organization credentials, one of the following may be the issue:

Are you trying to use a temporary password? If you have not yet created a your own password and are attempting to link your accounts using the system-assigned, temporary password, you will receive an error. You must change your password to one of your choosing before you can link your accounts.

To do so, navigate to the Commons home page. Use the Commons Login fields to log into Commons with your Commons ID and temporary password. You should be prompted to change the password.

After successfully changing your password, log back in following the steps described in [Federated Institutions/Organizations Sign In on Page 15](#).

Is your current Commons password expired? You will not be able to link your accounts if your Commons password is expired. Navigate to the Commons home page. Use the Commons

Login fields to log into Commons with your expired password. Commons will present the [Change Password](#) screen on which you can update your password.

After successfully changing your password, log back in following the steps described in [Federated Institutions/Organizations Sign In on Page 15](#).

Is your Commons account locked due to multiple unsuccessful logins? You can reset the account by clicking the [Forgot Password/Unlock Account](#) link on eRA Commons home page. Commons will generate a new, temporary password for you.

Once you follow the steps for changing the temporary password to one of your choosing, you can log back in following the steps described in [Federated Institutions/Organizations Sign In on Page 15](#).

In all other cases, please contact the [eRA Service Desk](#) to resolve this issue.

4 Password Policy

As shared information becomes more prevalent, so does the need for IT security programs, policies, and procedures. The eRA Password Policy (PASS) reduces the risk of unauthorized access to the production servers and databases. Please review the eRA Password Policy.

Policy: http://era.nih.gov/files/NIH_eRA_Password_Policy.pdf.

4.1 First-Time Login

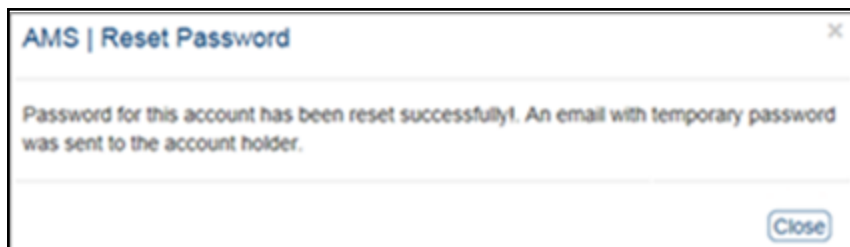
If you are a first time user logging in with the temporary password provided to you in the email, Commons will prompt you to change your password when you first log in successfully.

Standards for creating passwords are displayed on the *Change Password* screen and must be followed when creating a new password.

1. Enter the temporary password into the **Current Password** field.
2. Enter the new password into the **New Password** and **Confirm New Password** fields.
3. Click **Submit** to update the new password information.

The screenshot shows the 'Reset Password' form within the eRA (Electronic Research Administration) interface. At the top, there are logos for the U.S. Department of Health & Human Services and the National Institutes of Health (NIH). Below these is the eRA logo and the text 'Electronic Research Administration, A program of the National Institutes of Health'. The form title is 'Reset Password' with a help icon. It contains two input fields: 'User ID:' and 'Email:'. At the bottom of the form are two buttons: 'Submit' and 'Cancel'.

A confirmation message displays if the password is valid and meets the NIH password standards. If the new password does not meet the standards, an error message displays.

The screenshot shows a confirmation message box titled 'AMS | Reset Password'. The message text reads: 'Password for this account has been reset successfully. An email with temporary password was sent to the account holder.' There is a 'Close' button in the bottom right corner of the message box.

4.2 Password Requirements

The following list highlights the password requirements for eRA users:

- Must be at least eight (8) characters long (no blank spaces) and is case sensitive
- Must contain a combination of at least three (3) of the following types of characters:
 - Uppercase letters
 - Lowercase letters
 - Numeric characters
 - Special characters (! # \$ % - _ = + < > *)

The following special characters are NOT allowed: @, &, or a “period”

- May NOT contain your Username
- May NOT start or end with a number
- Cannot be reused within one year
- Must be changed every 90 days
- Passwords created or changed by the Institute and/or Center (IC) Account Administrators must be changed at first login.
- Accounts are locked after six (6) consecutive unsuccessful login attempts. Users can click the Forgot Password/Unlock Account? link under the login fields of the Commons homepage (<https://commons.era.nih.gov/commons/index.jsp>) to unlock their account(s). Be advised that a temporary password will be forwarded to the account owner's email address and is active for only 48 hours.
- Contact the [eRA Service Desk](#) if you are still experiencing the issue.

Read more information on the eRA Password Policy.

Policy: http://era.nih.gov/files/NIH_eRA_Password_Policy.pdf.

NOTE: Temporary passwords, sent to the user via email, are only valid for 48-hours and must be changed to a permanent password of the user's choosing within that time period.

4.3 Reset Password

Have you forgotten your password? Users who have forgotten their password have the option of requesting to reset their password. Submitting this request generates a new, temporary password, which is sent to the e-mail address contained in your user profile. This temporary password will get you into Commons, where you can reset a new password of your choosing.

Since your new password will be sent to the email address you used to create your Commons account, you must be able to access that email account in order to get your new password.

NOTE: If you know your password and just want to change it, use the change password feature instead. [Refer to the section of this document titled *Changing Your Password* on Page 21.](#)

To reset your password:

1. Select the **Forgot Password/Unlock Account?** link on the Commons home page.

The screenshot shows the eRA Commons home page. On the left, under 'Commons Login', there are fields for Username and Password, and a 'Forgot Password/Unlock Account?' link circled in red. Below this is the 'Federated Institutions/Organizations' section with a dropdown menu and a 'Sign in' button. Further down is the 'Federal User Login' link and the 'eRA Service Desk' contact information. The main content area has a 'Welcome to the Commons' header, a 'System Notification Message' box stating 'All systems are currently available.', a link to the 'eRA Scheduled Maintenance Calendar', and a 'Support Related Resources' section with links to 'Avoiding Common Errors', 'Applying Electronically website', and 'eRA Home Page'. Below that is the 'Commons Related Resources' section with links to 'Submit Reference Letter' and 'Demo Facility'. At the bottom of the main area is the 'Privacy Act Statement'. On the right side, there are links to 'Register Grantee Organization', 'About the Commons', 'Frequently Asked Questions', 'Latest Release Notes', and 'Additional Links' including 'RePORT', 'Grants.gov', 'eStation', 'National Institutes of Health', 'Public Access Policy Page', 'Loan Repayment Program', and 'Commons Quick Queries'.

2. Enter your **User ID** and **Email** address in the required fields of the *Reset Password* screen.

The screenshot shows the 'Reset Password' screen. At the top, it says 'Reset Password'. Below that, there is a legend: '* Indicates required field'. There are two input fields: 'User ID: *' and 'Email: *'. At the bottom, there are 'Submit' and 'Cancel' buttons.

3. Click the **Submit** button. The system returns to the Commons home page. Commons generates a new, temporary password and sends it to the email address contained within the user profile.
4. Log into Commons using the temporary password provided in the email.
5. After logging into Commons with the temporary password, create and enter a new password as prompted by Commons.

NOTE: All passwords are validated against the Password Policy requirements.

IMPORTANT: Your old password may re-appear in the **Password** field if you have not cleared your browser's cache/history, especially if you had previously opted to save the password in the field. Make sure you are entering the new password before you attempt to log in. If unsure, clear the cache/history and log in again with the new password.

For security purposes and to maintain the integrity of your account, you should never use the save password option and should always re-enter your password whenever you log in to Commons.

4.4 Changing Your Password

When logged into the system, a user's account password can be changed using the *Change Password* screen. This may be performed at any time to enhance security as necessary or for any other personal reason you would like to change your password.

1. Select the **Admin** tab, then the **Accounts** tab, and then the **Change Password** tab.

The *Change Password* screen opens in a separate window. The screen lists the password creation standards that must be followed when choosing a new password.

2. Enter your current password in the **Current Password** field.
3. Enter the new password into the **New Password** and **Confirm New Password** fields.

NOTE: Passwords display as dots for security purposes. Make sure to enter your password carefully.

4. Select the **Submit** button.

Change Password ⓘ

ⓘ INFORMATION! ×

- At least eight (8) non-blank characters in length
- Must Contain a mixture of letters, numbers and Special characters: `~!@#\$%^&*()-_+=+[]{}|\'":;<>.,.?/
- First and last characters cannot be numbers
- Cannot contain username
- Cannot be reused within one (1) year

Current Password:

New Password:

Confirm New Password:

The password change takes effect immediately and must be used when logging into Commons again.

IMPORTANT: Your old password may re-appear in the **Password** field if you have not cleared your browser's cache/history, especially if you had previously opted to save the password in the field. Make sure you are entering the new password before you attempt to log in. If unsure, clear the cache/history and log in again with the new password.

For security purposes and to maintain the integrity of your account, you should never use the save password option and should always re-enter your password whenever you log in to Commons.

4.5 Reset Your Expired Password

For security purposes, passwords will expire after a set amount of time and must be reset. When your password has expired, you will be directed to select a new password when you try to log in.

Your new password must conform to the standards listed on the screen.

1. Enter your **Current Password**.
2. Enter a **New Password**.
3. Re-enter the new password in the **Confirm New Password** field.
4. Select **Submit**.

Your new password is effective immediately.

Change Password

Your password is expired. You must change the password now in order to log into the system.

New password must meet the following standards:

- At least eight (8) non-blank characters in length
- Passwords must contain a combination of at least three of the following types of characters:
 - Capital letters
 - Lower case letters
 - Numeric characters
 - Special characters: ! # \$ % ^ _ = + < >
- First and last characters cannot be numbers
- Cannot contain username
- Previous 24 passwords cannot be reused

Your password will be changed immediately in eRA production (IMPP) applications. For IRDB applications - such as QVR - password changes will take effect within one hour.

For additional guidance, please review the [eRA Password Policy](#).

* Indicates required field

User ID: * alevy123

Current Password: *

New Password: *

Confirm New Password: *

Submit Clear

[Privacy Notice](#) | [Accessibility](#) | [Disclaimer](#)

National Institutes of Health (NIH)
9000 Rockville Pike
Bethesda, Maryland 20892

Department of Health
and Human Services

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Screen ID: AM50011
Version: 1.01.01

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IMPORTANT: Your old password may re-appear in the **Password** field if you have not cleared your browser's cache/history, especially if you had previously opted to save the password in the field. Make sure you are entering the new password before you attempt to log in. If unsure, clear the cache/history and log in again with the new password.

For security purposes and to maintain the integrity of your account, you should never use the save password option and should always re-enter your password whenever you log in to Commons.

4.6 Resetting a Locked Account

If you have attempted to log into Commons multiple times using an invalid password, your account will lock. When this occurs, it is necessary for the Signing Official (SO) at your organization to unlock your account and reset your password.

SOs can reset locked accounts with the *Manage Accounts* feature.

The Accounts Management module has its own online help feature. Refer to the following for information on unlocking accounts and resetting passwords on locked accounts:

[Reactivating/Unlocking an Account](#)

[Resetting a Password](#)

IMPORTANT: If your account is not locked, but you've forgotten your password, you can reset the password yourself. [Refer to the section of this document titled *Reset Password* on Page 19.](#)

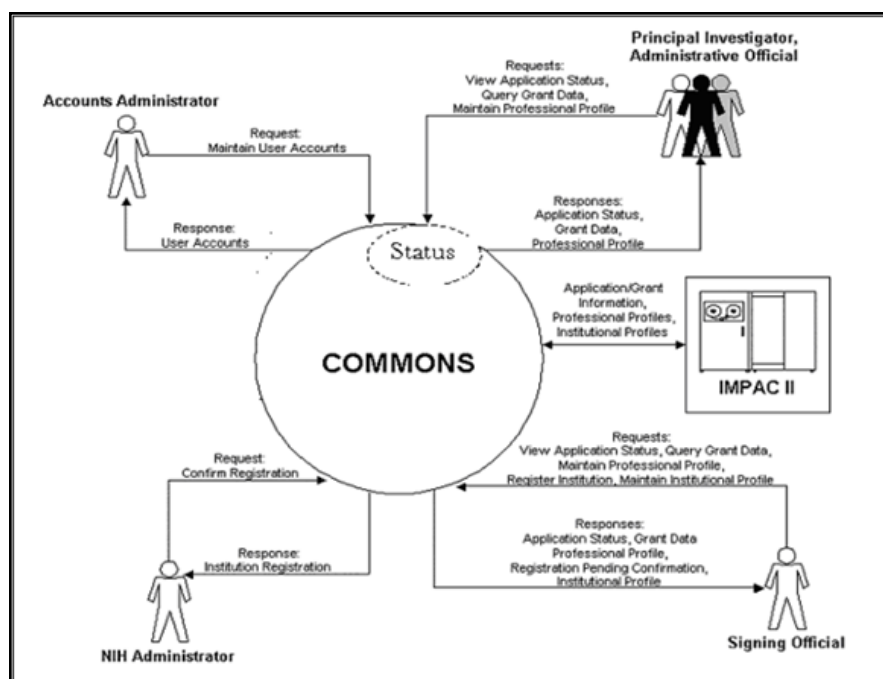
5 User Roles

To log in to Commons and access its features, you must have a Commons account with assigned user role(s). User roles determine which features you can employ, the tasks you can perform, and the level of access you have to information. Commons roles range from trainee roles to scientific roles to administrative roles.

The following is a list of user roles which may be associated to your account. Refer to the section on that role for more information.

- **AA:** Account Administrator at an organization, who facilitates the administration of Commons accounts.
- **AO:** Administrative Official of an organization.
- **ASST:** An assistant who may be delegated to perform tasks on behalf of the PD/PI.
- **BO:** Business Official at an organization who manages trainee grants and uses the xTrain module.
- **FCOI:** Those at an organization who manage the Financial Conflict of Interest module and report submission.
- **FSR:** A person in an organization responsible for completing and submitting Federal Financial Reports (FFR).
- **Graduate:** Role assigned to an individual who is a graduate student and is participating in an NIH-funded project for at least one person month. Refer to the following guide notice for more information: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html>.
- **IAR:** A Reviewer selected by Scientific Review Officer (SRO) assigned to critique and score applications in a review meeting. These Reviewers use the Internet Assisted Review (IAR) module.
- **PACR:** Having this role provides access to the Public Access Compliance Report system via the Commons home page.
- **PI:** Program Director/Principal Investigator (also called PD/PI), who directs a research project or program supported by the NIH.
- **POSTDOC:** POSTDOC role exists in Commons for those at an institution serving in a postdoctoral role. This could be someone who is being mentored and not yet in a permanent position.
- **Project Personnel:** Role assigned to an individual performing other project roles on a project. Refer to the following guide notice for more information: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html>.
- **SO:** Organization's Signing Official, who has the institutional authority to legally bind the institution in grant-administration matters.

- **SPONSOR**: Sponsors supervise the research training experience of individual fellows supported by fellowship awards in the xTrain module.
- **TRAINEE**: TRAINEE user manages the electronic appointments of their own awarded training grants.
- **Undergraduate**: Role assigned to an individual who is in an undergraduate program and is participating in an NIH-funded project for at least one person month. Refer to the following guide notice for more information: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html>.



5.1 Account Administrator (AA)

Designated by the SO, the AA facilitates the administration of eRA Commons accounts. The AA typically is located in the Central Research Administration Office at the grantee organization.

If you hold an AA role, you have privileges to perform the following tasks:

- Create accounts and modify all Commons roles except IAR and FCOI roles
- Create affiliation between an existing PI or IAR Commons account and the institution

5.2 Administrative Official (AO)

An AO is an official within an extramural organization and may be located within the Central Research Administration Office and/or an academic department. Depending on an institution's

workflow process, it is possible for the SO and AO to be the same person. In this case, only SO authority is necessary (as SO authority supersedes AO authority).

SO and AO authorities should not be combined.

NOTE: An AO is not authorized to submit reports to the NIH.

If you hold an AO role, you have privileges to perform the following tasks:

- Create all accounts other than IAR, TRAINEE, and FCOI
- Update Commons accounts created by the AO
- View status and award information for all institution grants

NOTE: The AO cannot view summary statements or priority scores.

- Create affiliation between an existing PD/PI or IAR Commons account and the institution

NOTE: An AO cannot modify the Institution Profile.

5.3 Assistant (ASST)

An ASST user can perform tasks on behalf of a PD/PI depending on the authority granted to the ASST user.

If you hold an ASST role, you may have privileges to perform the following tasks:

- Edit your own personal profile (PPF) data
- Edit the PD/PI's PPF if delegated by a PI user
- Edit the PD/PI's progress report data if delegated by the PI user
- View the PD/PI Grant Status if delegated by the PI user
- Perform PD/PI xTrain functions (except submit to agency) if delegated by the PI user

5.4 Business Official (BO)

A BO has signature or other authority related to administering grantee institution training grants. Users with the BO role perform their tasks in the xTrain module of Commons.

If you hold a BO role, you have privileges to perform the following tasks:

- View the following Training Grant related items:
 - Trainee Roster
 - List of Grants
 - Grant Summary

- Routing History
- PDF-formatted Appointments/Amendments/Terminations
- Initiate, update, route, and submit Termination Notices (TN), if authorized

5.5 Financial Conflict of Interest (FCOI)

FCOI is the user(s) in the institution who manages the Financial Conflict of Interest reporting process. The FCOI role can only be assigned by the SO to someone within his or her institution and that person must have a Commons account.

If you hold an FCOI role, you have privileges to perform the following tasks:

- Initiate FCOI
- View and Edit FCOI
- Delete FCOI
- Submit FCOI

FCOI responsibilities can be shared with other by assigning either the FCOI_ASST or FCOI_View roles.

5.5.1 FCOI Assistant (FCOI_ASST) Role

Commons users with the SO role can assign the FCOI_ASST role to those users in the institution who will assist in working on the FCOI reporting process.

Commons users assigned the FCOI_ASST role, have privileges to perform the following tasks:

- Initiate FCOI
- Search FCOI
- View FCOI
- Edit FCOI
- Delete FCOI

NOTE: Assign the FCOI_View role instead to any system users who need authority to search for and view FCOI information entered by the institution in the FCOI module, but who will not perform any data entry or make changes to the information.

5.5.2 FCOI Read-Only (FCOI_View) Role

Commons users with the SO role can assign the FCOI_View role to those users in the institution need authority to search for and view FCOI information entered by the institution in the FCOI

module, but who will not perform any data entry or make changes to the information. These users have read-only access to FCOI report data.

Commons users assigned the FCOI_View role, have privileges to perform the following tasks:

- Search FCOI
- View FCOI

NOTE: Assign the FCOI_ASST role instead to any system users who need the authority to do more than view the FCOI report. FCOI_ASST users can initiate, edit, and delete FCOI reports.

5.6 Federal Financial Report (FSR Role)

The Federal Financial Report (FFR) is a statement of expenditures for a grant. The Commons role assigned for completing FFR responsibilities is the FSR role. Depending on the institution's workflow process, it is possible for the SO or BO/AO to have FSR person responsibilities. As such, these two authorities may be combined on the same account.

If you hold an FSR role, you have privileges to submit FFRs on behalf of your institution.

NOTE: An account with only the FSR role assigned can only perform FSR tasks.

5.7 Internet Assisted Review (IAR)

Specially selected by Scientific Review Officers (SRO) of the NIH, an IAR user can critique and score submitted grant applications. Many PD/PIs are selected for this role and IAR authority is automatically added to their account once an SRO enables them for a meeting. All other reviewers who have never served as PD/PIs have IAR authority solely.

If you hold an IAR role, you have privileges to perform the following tasks:

- Edit your own personal profile (PPF) and Reviewer address data
- Use the IAR module to submit critiques and preliminary scores for applications to be reviewed at a meeting for which you are enabled

NOTE: If affiliated with an institution, you can take advantage of other Commons features with the IAR role.

If you are a Reviewer with an IAR role and are seeking help with the IAR module, check out the IAR for Reviewers online help system: http://era.nih.gov/erahelp/IAR_Rev/.

5.8 Program Director/Principal Investigator (PI)

A PI (also called a PD/PI, although the role in Commons displays as *PI*) directs a research project or program supported by the NIH. The role of the PI within Commons is to complete the grant

administration process or to delegate this responsibility to another individual. A PI may only access information pertaining to the grant(s) on which he/she is the designated PD/PI.

NIH has adopted a Multiple-PI (MPI) model—as directed by the Office of Science and Technology Policy—permitting more than one PI to be associated with an NIH-funded grant, contract, or cooperative agreement. Additional PIs assist with the responsibilities currently accorded to a single PI. The multiple-PI model is intended to supplement—not replace—the traditional single-PI model.

If you hold a PI role, you have privileges to perform the following tasks:

- Edit your personal profile (PPF)
- Delegate edit authority of your own PPF to others
- View the status of all grant applications for which you are the designated PI, including any errors or warnings that may have been triggered
- View the assembled image of submitted grant applications before those grants move on for further processing
- View Study Section/Meeting Roster of the Review Group that will be reviewing your application
- View Review outcome information and summary statements
- View Notice of Award (NoA) for all grants for which you are the designated PI
- Delegate authority to someone with an ASST role to perform the same actions and receive the same notifications as a you do as the PI

NOTE: PI users cannot delegate authority to submit appointments to the Agency.

- View the following Training Grant related items using xTrain:
 - Trainee Roster
 - List of Grants
 - Grant Summary
 - Routing History
 - PDF-formatted Appointments/Amendments/Terminations
- Initiate, update, route, and submit Appointments, Re-Appointments, and Amendments in xTrain
- Initiate, update, and route Termination Notices in xTrain
- Initiate a progress report
- Delegate progress report authority
- Submit a progress report when given the authority by an SO

- Delegate Status authority to others within the institution so that they can see PI grant information (except Review outcome information and Summary Statement)

NOTE: The PI role should not be combined with the SO role, but can be combined with the IAR role.

5.9 *Signing Official (SO)*

An SO has institutional authority to legally bind the institution in grant-administration matters by providing signature approval on grant application submissions. The SO monitors grant related activities within the extramural organization and may have a number of titles.

If you hold an SO role, you have privileges to perform the following tasks:

- Register the applicant institution in Commons
- Create and update the Institutional Profile (IPF)
- Create/delete/update all Commons accounts (except IAR and TRAINEE accounts)

NOTE: An SO cannot modify another user's personal profile (PPF) unless designated to do so by that user

- Create affiliation between an existing Program Director/Principal Investigator (PD/PI) and/or IAR Commons account and the institution
- Submit electronic grant application(s) on behalf of the institution via Grants.gov (outside of eRA Commons), if also registered with Grants.gov as the Authorized Organization Representative (AOR)
- View status of all grant applications originating from their institution and any errors or warnings that may have been triggered
- View assembled image of submitted grant applications before they move on for further processing
- Reject grant applications to address submission warnings
- View award information for all grants awarded to the institution

NOTE: An SO cannot view summary statements or priority scores.

- Submit JIT information for a PD/PI
- View the following Training Grant related items:
 - Trainee Roster
 - List of Grants

- Grant Summary
- Routing History
- PDF-formatted Appointments/Amendments/Terminations
- Delegate progress report authority to someone on behalf of the PD/PI
- Delegate submit authority for progress reports to a PD/PI
- Submit a progress report to the Agency (NIH)
- Submit Final Research Performance Progress Report (Final RPPR)
- Submit a one-time No-Cost Extension on behalf of the PD/PI
- Assign the FCOI role for those using the Financial Conflict of Interest (FCOI) module

NOTE: An SO role should never be combined with a PI role.

5.10 Sponsor (*SPONSOR*)

A sponsor supervises the research training experience of individual fellows supported by fellowship awards in the xTrain module. Your institution's SO (or another institutional official with Commons account management privileges, such as an AO) can add the Sponsor role to your account, which in turn will associate the Sponsor role with all of the fellowships with which you are a Sponsor.

If you hold a Sponsor role, you have privileges to perform the following tasks:

- View the following Training Grant related items:
 - Trainee Roster
 - List of Grants
- Review Termination Notices and route to BO before submission to Agency
- Initiate Termination Notices on behalf of fellows who have left the institution
- Delegate Sponsor authority to another individual

5.11 Trainee (*TRAINEE*)

The Commons xTrain TRAINEE role is used to manage electronic appointments for awarded Training Grants.

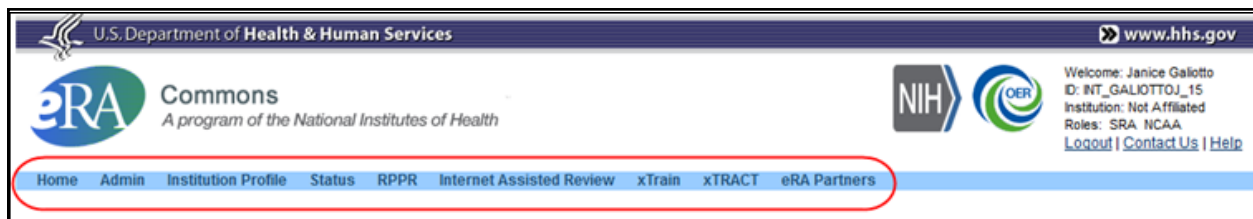
If you hold a TRAINEE role, you have privileges to perform the following tasks:

- View your PDF-formatted Appointments/Amendments/Terminations
- Update and route your Appointments/Amendments/Terminations
- View Appointments/Amendments/Terminations routing history

6 Modules

Commons is organized by modules, each providing access to the information and tasks pertaining to a specific area or function. Your access to each module - and to the features therein - is dependent on your assigned user role(s). These roles are largely assigned by the Signing Official, except for the IAR role, which is enabled by a Scientific Review Officer.

If you have access, a module is visible to you on the navigational menu bar near the top of every Commons screen.



NOTE: The figure of the user interface above is for display purposes only and does not represent the available modules associated with the displayed role.

7 Commons Demonstration Site

The Commons Demonstration Site is a fully functioning site for all users. Once an account is created, the user has access to an environment containing data that is mostly identical to the Commons production environment.

Use the training/demo facility to familiarize yourself with the eRA Commons application and to practice creating sample institutions and accounts and/or manipulating grant applications. The site provides access to the major functions of the system in a training/demonstration mode that mirrors the production version, the difference being that only sample data is altered in the Commons Demonstration Site.

7.1 Accessing Commons Demonstration Facility

To access the Commons Demonstration Site, select the **Demo Facility** hyperlink from the **Commons Related Resources** section of the login page.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Commons Login

*Required field(s)

*Username
[Text Input]

*Password
[Text Input]

[Login] [Reset]

[Forgot Password/Unlock Account?](#)

Federated Institutions/Organizations

[N/A]

Federal User Login [Here](#)

eRA Commons Help Desk

Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://eservicedesk.nih.gov/eRA/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Welcome to the Commons

System Notification Message
All systems are currently available.

Scheduled Commons Maintenance: For maintenance information, see the [eRA Scheduled Maintenance Calendar](#).

Support Related Resources

- Electronic Submission: Learn about the most frequent application errors at [Avoiding Common Errors](#).
- Online Resources: Take advantage of our online [Self Help Resources](#).
- Electronic Application Submission: To learn about completing and submitting an electronic grant application and access helpful resources, visit the [Applying Electronically website](#).
- eRA Home Page: To find Commons [FAQs](#), [User Guides](#), training materials, and step-by-step instructions for performing tasks in Commons, visit the [eRA website](#).

Commons Related Resources

- Reference Letters: To submit a reference letter when requested by an applicant, please follow this link: [Submit Reference Letter](#).
- Demo Facility: [Demo Facility](#) allows you to try most of the capabilities of the NIH eRA Commons in a sample environment.

Warning Notice

This is a U.S. Government computer system, which may be accessed and used only for authorized Government business by authorized personnel. Unauthorized access or use of this computer system may subject violators to criminal, civil, and/or administrative action.

All information on this computer system may be intercepted, recorded, read, copied, and disclosed by and to authorized personnel for official purposes, including criminal investigations. Such information includes sensitive data encrypted to comply with confidentiality and privacy requirements. Access or use of this computer system by any person, whether authorized or unauthorized, constitutes consent to these terms. There is no right of privacy in this system.

Register Grantee Organization

About the Commons

- [Frequently Asked Questions](#)
- [Latest Release Notes](#)

Additional Links

- [RePORT](#)
- [Grants.gov](#)
- [iEdison](#)
- [National Institutes of Health](#)
- [Public Access Policy Page](#)
- [Loan Repayment Program](#)

Users with a demo account should log in using the username and password created for this purpose; users without a demo account should create one. [Refer to the section of this document titled *Creating a New Demo Account* on Page 35.](#)

7.2 Creating a New Demo Account

The *Create a New Demo Account* screen facilitates creation of a sample institution and user account. Creation of an SO and a PI account is required, with grant applications assigned to the created institution.

A number of sample grant applications are assigned to the PI account. Once the institution and initial accounts are assigned, the training/demonstration module can be used to perform all functions on the sample data linked to these accounts (such as creating new accounts, submitting an RPPR or FFR, reviewing application status, and affiliating other demo users to the demo institution).

To create a new demo account:

1. Select the **Demo Facility** link on the *Welcome to the Commons* page.

The *Create a New Demo Account* screen displays.

2. Fill in the appropriate information for creating the account, including all required fields.

NOTE: All fields followed by an asterisk (*) are required. The user name must have a minimum of six (6) characters (numbers and letters may be combined) and a maximum of twenty (20) characters. The account names must be unique.

3. Select the **Submit** button.

The screenshot shows the 'Create a New Demo Account' form in the eRA Commons system. The form is titled 'Create a New Demo Account' and includes a 'Home' link. The form is divided into sections for 'Account Information' and 'Possible Roles'. The 'Account Information' section includes fields for First Name, Last Name, SO Account, PI Account, BO Account, Trainee Account, E-mail Address, and Institution. The 'Possible Roles' section includes checkboxes for SO, PI, BO, and Trainee, and a 'User Name' field. The 'Submit' button is highlighted with a red circle.

| Account Information | |
|--|---|
| First Name* | George |
| Last Name* | Washington |
| User Name must be a minimum of 6 characters and must not already be in use | |
| SO Account* | <input checked="" type="checkbox"/> SO |
| PI Account* | <input checked="" type="checkbox"/> PI |
| Optional Roles for SO and PI | |
| | <input type="checkbox"/> FSR <input type="checkbox"/> IAR |
| BO Account | <input type="checkbox"/> BO |
| Trainee Account | <input type="checkbox"/> Trainee |
| E-mail Address* | GWashington@email.com |
| Institution* | Mount Vernon College |
| <input type="button" value="Submit"/> <input type="button" value="Reset"/> | |

A verification message displays the information entered.

4. Review all entered information and select the **Save** button to create the demo account.

Create a New Demo Account ?

Please verify the data you entered for the new account.

First Name : George
Last Name : Washington

SO User Name : GWash_SO SO User Roles : SO
PI User Name : GWash_PI PI User Roles : PI

Email Address : GWashington@email
Institution : Mount Vernon College

The Save Action will create test institution accounts and a number of sample applications for your personal use. Please be patient, this may take up to a minute.

A confirmation page lists the user name information and passwords. Make sure to copy the information.

5. Select the **Continue** link.

Create a New Demo Account ?

Your Sample Institution has been created with the Accounts and Passwords listed below. Please write down this information and login to the NIH Commons Training/Demo Facility using this information. Like NIH Commons, you will be asked to change your password the first time you login. Once you have successfully authenticated, you will be able to use the NIH Commons in the same way as you would the production version.

SO User Name : GWash_SO SO Password : trainso1\$
PI User Name : GWash_PI PI Password : trainpi1\$

The system returns to the Commons Demonstration Site for login and start of the training/demo session.

8 Registering Institutions and Organizations

Policy: https://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch2.htm

Policy: https://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch2.htm#determining_applicant_org_eligibility

To access eRA Commons, there is a one-time registration process for institutions and research facilities. Once an institution registers, accounts for the Signing Official (SO) and Account Administrator (AA) created during the registration process become active. The authorized personnel may create new user accounts within the hierarchy and structure of an extramural institution and access Institution Profile information.

You can access the eRA Commons Online Registration system at the following location:
<https://public.era.nih.gov/commons/public/registration/registrationInstructions.jsp>

8.1 Institution Registration Request

The initial registration request sets up a mandatory account for the institution's SO and an optional account for the institution's AA. Only authorized organization officials may be deemed as SOs for their institutions. Examples of NIH accepted organization officials include:

- Corporation - President, CEO
- Institute - Executive Director
- University - President, Dean, or Chancellor

You must have a valid and verifiable Dunn and Bradstreet (DUNS) number before proceeding with the registration process. If your institution does not have a valid DUNS number, you can obtain one at the following website:

<http://fedgov.dnb.com/webform>

To register an institution within eRA Commons:

1. On the Commons home page, select the **Register Grantee Organization** link.

Electronic Research Administration Commons
Sponsored by National Institutes of Health

Commons Login

*Required field(s)

*Username

*Password

[Forgot Password/Unlock Account?](#)

[Login](#) [Reset](#)

Federated Institutions/Organizations

Welcome to the Commons

System Notification Message
All systems are currently available.

Scheduled Commons Maintenance: For maintenance information, see the [eRA Scheduled Maintenance Calendar](#).

Support Related Resources

- Electronic Submission: Learn about the most frequent application errors at [Avoiding Common Errors](#).
- Online Resources: Take advantage of our online [Self Help Resources](#).
- Electronic Application Submission: To learn about completing and submitting an electronic grant application and access helpful resources, visit the [Applying Electronically website](#).
- eRA Home Page: To find Commons [FAQs](#), [User Guides](#), training materials, and step-by-step instructions for performing tasks in Commons, visit the [eRA website](#).

Register Grantee Organization

About the Commons

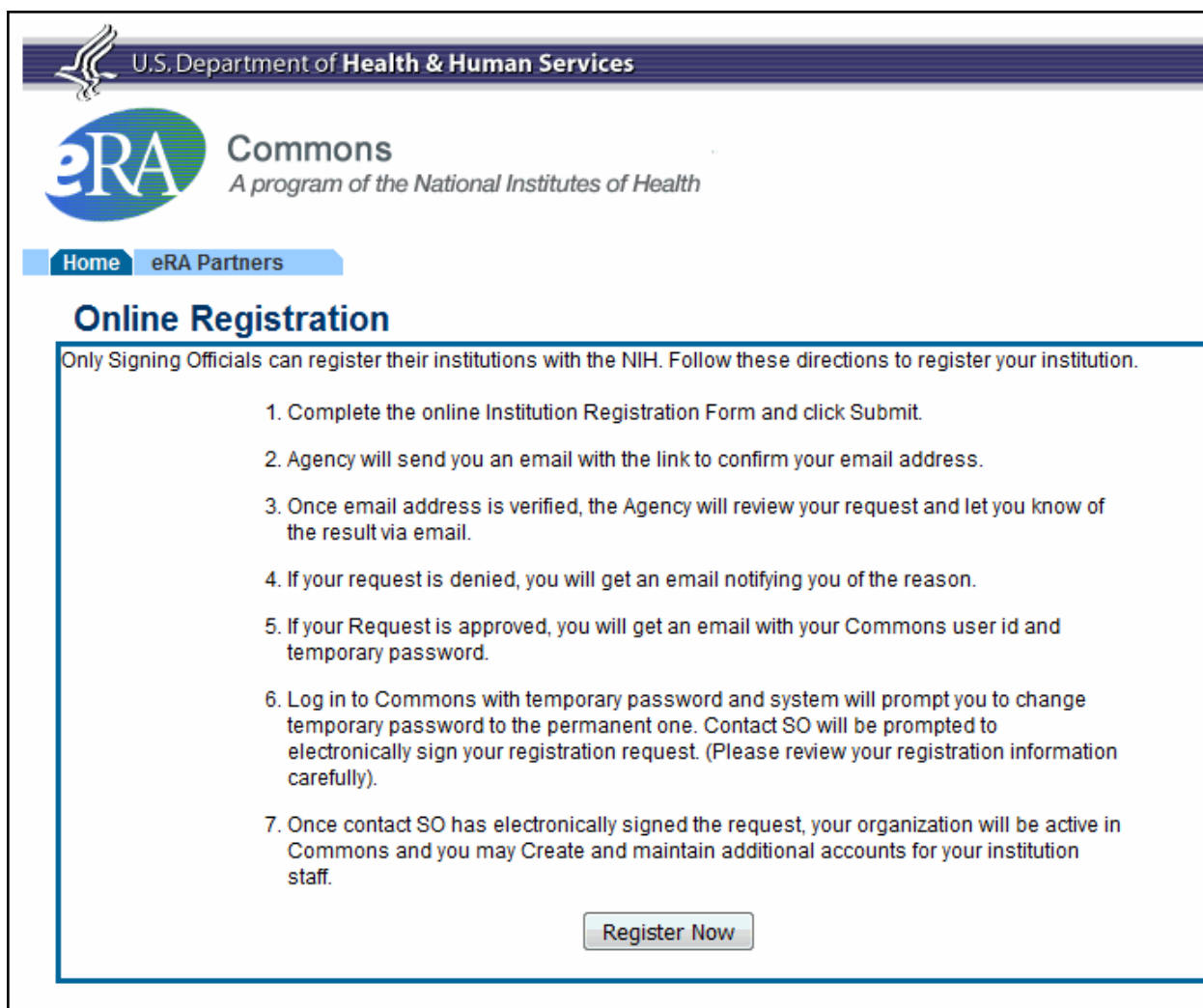
- [Frequently Asked Questions](#)
- [Latest Release Notes](#)

Additional Links

- [RePORT](#)
- [Grants.gov](#)
- [eEdison](#)
- [National Institutes of Health](#)
- [Public Access Policy Page](#)
- [Loan Repayment Program](#)

The *Online Registration* screen displays.

2. Read the instructional steps and click the **Register Now** button.



The *Register Institution* screen displays.

3. Complete the required fields for the **Institution Information** and **Accounts Information** sections noting the following:
 - All fields followed by a red asterisk (*) are required
 - A minimum of one address line (Street 1) is required
 - The Institution Name may contain a maximum of 100 characters
 - An Official's Title may contain a maximum of 240 characters
 - The User Name must have a minimum of six (6) characters (numbers and letters can be combined but no spaces can be used). Usernames may not exceed the maximum of twenty (20) characters.

- The AA position and information is optional. When completing information for the AA, fill in the required account information fields and submit.
- The DUNS Number is a unique nine-digit identification for single business entities

NOTE: More information about DUNS Numbers is located online at <http://www.dnb.com/us/>.

Register Institution ?

Online Registration

Welcome to the ERA Commons On-Line Registration Process.

Completing this process will register your institution into the ERA Commons and establish up to two accounts for your institution. Selected staff at your institution can then create additional accounts appropriate to the needs of your institution.

Before registering your institution please read through the registration material provided here. It is recommended that you print a copy of this page to use as a reference when completing the form. To print a copy select the "Print" button on your browser button bar or select "File/Print" from the menu bar.

* indicates required field

Institution Information

Institution Name : *

DUNS Number : *

Street 1 : *

Street 2 :

Street 3 :

Street 4 :

Closeout E-mail : *

NoA E-mail : *

City : *

State : *

Zip Code : * (20873) or (208733423)

Country : UNITED STATES

Accounts Information

Principal Signing Official

Name Prefix:

First Name : *

Middle Name:

Last Name : *

Title : *

User Name : *

Phone : *

Fax :

E-mail : *

Accounts Administrator

This entire section is optional; however if any information is entered then all required fields must be entered

Name Prefix:

First Name : *

Middle Name:

Last Name : *

Title : *

User Name : *

Phone : *

Fax :

E-mail : *

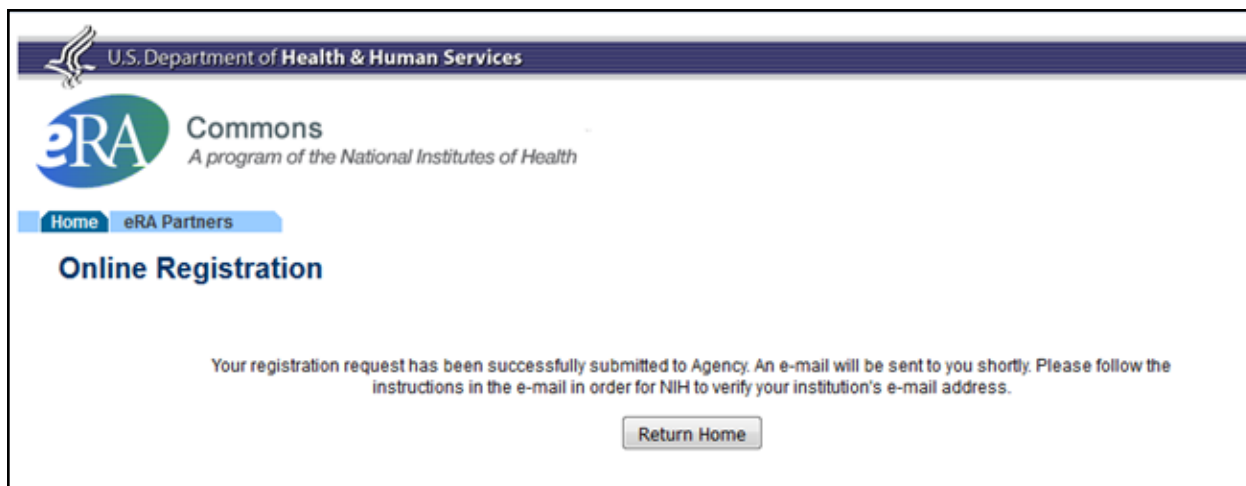
Save Reset Cancel

4. Verify that all entered information is correct before selecting **Save**.

The *Online Registration* screen displays.

NIH displays a notice stating the submission was successful.

5. Click **Return Home**



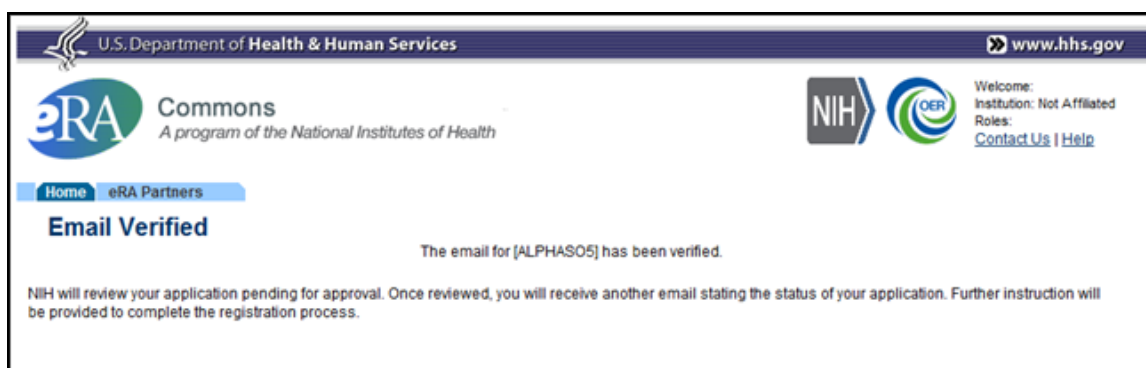
NIH sends an address confirmation e-mail to the designated SO.

6. Click the e-mail hyperlink to verify the SO e-mail address.

The Email Verified screen displays when the SO clicks the link in the email that they receive and confirms that the SO email address is valid.

NOTE: If an Account Administrator (AA) account is created at the same time as the SO account, a separate email is sent to the email address of the AA account containing the AA account user name. A second email is sent to the email address of the AA containing the AA account temporary password. Emails sent to the SO do not include the AA user name or password.

NIH reviews the registration, which is now pending approval, and displays the Email Verified screen.



Once the NIH has reviewed the registration request, a second email is sent stating the status of the application (either approved or rejected). If the request is rejected, an email is sent notifying you of the reason.

Institution Registration Confirmation

- If approved, select the hyperlink in the e-mail message to confirm the registration process and open the *IPF Assignment View*.

U.S. Department of Health & Human Services

www.hhs.gov

eRA Commons
A program of the National Institutes of Health

NIH eRA Commons

Welcome:
Institution: Not Affiliated
Roles:
[Contact Us](#) | [Help](#)

IPF Assignment View ?

NIH has approved your registration and linked your registration with NIH's database. Does the information below correctly match your institution?

Confirm Institution Registration

| | |
|--------------------------------|---------------------|
| Registration Institution Name: | YOMI7417 |
| NIH Institution Name: | YOMI7417 |
| Request Date: | 2016-02-03 12:51:33 |

- Click **Yes** on the *IPF Assignment View* screen.

After the SO confirms the Registration request, an email is sent containing the User ID and temporary password.

Once the SO has re-logged in to Commons and changed the password, the Registration Information screen is displayed.

U.S. Department of Health & Human Services

www.hhs.gov

eRA Commons
A program of the National Institutes of Health

NATIONAL INSTITUTE OF HEALTH eRA Commons

Registration Information

In order to protect the confidentiality of certain information, access to the secure eRA Commons server is limited to authorized users. The registration of authorized eRA Commons users will be administered by the Principal Signing Official, or their designee, serving as the grantee organization Commons Accounts Administrator.

The grantee organization Principal Signing Official serving as administrator of the Commons accounts, and signatory of this form, should be the Official with institutional authority in so far as legally binding grants administration actions with the NIH are concerned, including serving as the grantee organization authority responsible for submission of grant applications to the NIH. As Commons Accounts Administrator, this Official will have the authority to create, modify and delete Commons accounts for additional Signing Officials, Administrative Officials, Principal Investigators, Program Directors, and other scientific and/or administrative staff for the grantee organization.

Solely for the purpose of facilitating administration of Commons accounts, and distinct from submitting grant applications to the NIH, the Principal Signing Official can extend authority to a Primary Commons Accounts Administrator. Designation of such a Primary Commons Accounts Administrator can be acknowledged herein, as detailed below, so long as both Principal Signing Official and Primary Commons Accounts Administrator are signatories of this form.

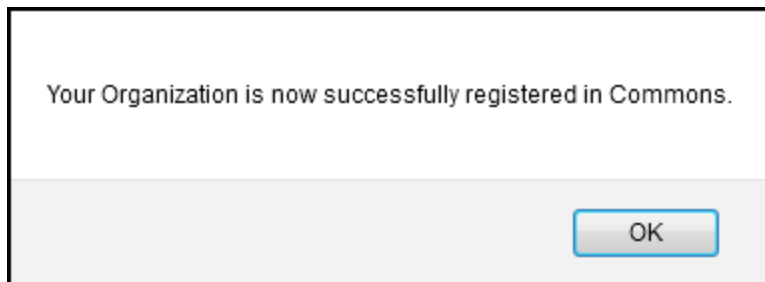
| Institution Information | |
|-------------------------|----------------------|
| Institution Name: | YOMI7417 |
| FAX Received: | No |
| Duns Number: | 963214780 |
| Street 1: | TEST |
| Street 2: | |
| Street 3: | |
| Street 4: | |
| IPF Code: | |
| Closeout E-mail: | eRATest@mail.nih.gov |
| NoA E-mail: | eRATest@mail.nih.gov |
| City: | BETHESDA |
| State: | MD |
| Zip Code: | 20817 |
| Country: | |

| Principal Signing Official | | Accounts Administrator | |
|----------------------------|----------------------|------------------------|----------------------|
| Name Prefix: | | Name Prefix: | |
| First Name: | TestSO | First Name: | TestAA |
| Middle Name: | | Middle Name: | |
| Last Name: | AcctSO | Last Name: | TestAA |
| Suffix: | | Suffix: | |
| Title: | CEO | Title: | Executive |
| User Name: | ALPHAS05 | User Name: | BETAA05 |
| Phone: | 000-000-0000 | Phone: | 000-000-0000 |
| Fax: | | Fax: | |
| E-mail: | eRATest@mail.nih.gov | E-mail: | eRATest@mail.nih.gov |

By clicking the "Accept" button, you acknowledge responsibility for maintaining the security and confidentiality of the grantee organization's information through the administration of all Commons accounts established for the grantee organization.

9. Click **Accept**.

Once the SO has electronically signed the registration request, the organization will be active in Commons.



9 Admin Module

The Admin module houses the features used to perform:

- **Account Management**
- **Delegations**

All Commons users have access to the Admin module, however, your role determines what you can and cannot do within the module.

9.1 Accounts

The **Accounts** tab of the Admin module contains the options for creating, searching, and updating user accounts. From Account Administration, the following can be performed:

- **Manage Accounts**
- **Advanced Search**
- **Change Password**

To access Accounts:

1. Select the **Admin** tab.
2. Select the **Accounts** tab.

Refer to the topic [Advanced Search on Page 44](#) for help with this feature.

For more information on creating and managing user accounts, refer to the Account Management System's Online Help System (https://era.nih.gov/erahelp/ams_new/).

9.1.1 Advanced Search

If you hold an administrator role (e.g., SO), you can perform a search on existing Commons accounts to locate PIs eligible for continuous submission. You can search for accounts within your institution or include those outside of your institution.

To perform an advanced search:

1. Select the **Accounts** tab from within the Admin module.
2. From within *Accounts*, select the **Advanced Search** tab to display the *Account List* screen.
3. Enter the search criteria. The percent sign (%) may be used as a wildcard (e.g., Sm%).

The **Search within your institution** field is checked as a default and means that Commons will only search for matching records within your institution. To include accounts outside of your institution, uncheck this field before performing the search.

NOTE: When searching outside of your organization, you must include the **Last Name** or **Commons ID** in your search criteria.

4. Select the **Search** button.

The results display in the **Account Search Results** table and, depending on the number of returned records, may be listed over multiple pages. Use the pagination, **Prev**, **Next**, and **All** links to access all returned account records.

The screenshot shows the 'Account List' search interface. At the top, there's a 'Search Criteria' section with input fields for 'Commons ID' (containing 'jausten1775'), 'Last Name', 'First Name', and 'Middle Name'. Below these is a checkbox for 'Search within your institution' which is checked. There are 'Search' and 'Clear' buttons. Below the search section is a table titled 'Account Search Results 1- 1 out of 1 records' with pagination links 'Prev 1 Next All'. The table has columns: User Name, User ID, Email Address, Account Status, Role, CS Eligibility Details, Address, and Institution. The single result row shows: Austen, Jane; JAUSTEN1775; JAusten@email.com; Active; IAR PI SPONSOR; No; University of Literature, 1234 Pemberley Drive, Building 100, Mail Code 1234, Mansfield Park, NJ 07834; UNIVERSITY OF LITERATURE.

| Account Search Results 1- 1 out of 1 records Prev 1 Next All | | | | | | | |
|---|-------------|-------------------|----------------|----------------|------------------------|--|--------------------------|
| User Name | User ID | Email Address | Account Status | Role | CS Eligibility Details | Address | Institution |
| Austen, Jane | JAUSTEN1775 | JAusten@email.com | Active | IAR PI SPONSOR | No | University of Literature 1234 Pemberley Drive Building 100 Mail Code 1234 Mansfield Park, NJ 07834 | UNIVERSITY OF LITERATURE |

The search results include the following information:

- **User Name**
- **User ID**
- **Email Address**
- **Account Status**
- **Role**
- **CS Eligibility Details**
- **Address**
- **Institution**

The **CS Eligibility Details** column displays a **No** or **Yes** link to indicate the Continuous Submission Eligibility status of the PI. Select this link to open the *Continuous Submission Eligibility* screen for that PI.

The *Continuous Submission Eligibility for <PI Name>* displays the same information the PI can view from the Personal Profile. For more information on this screen, refer to the Personal Profile *Reviewer Information* topic, specifically [Continuous Submission Eligibility Status](#).

Continuous Submission Eligibility ?

for Austen, Jane

Continuous Submission Eligibility Status:
Not Eligible

To help recognize outstanding service in the NIH peer review process and on NIH Advisory Groups, NIH has implemented policy and procedures to allow appointed members of NIH review and Advisory Groups, and peer reviewers with recent substantial service (six times in the NIH specified 18 months period), to submit their research grant applications (R01, R21, or R34) on a continuous basis and to have those applications undergo initial peer review in a timely manner.

[What is Continuous Submission?](#) »
[Continuous Submission FAQs](#) »

| | |
|---|---|
| Eligibility for Continuous Submission based on current appointed membership | Show Eligibility Status |
| <hr/> | |
| Eligibility for Continuous Submission based on recent substantial service | Show Eligibility Status |

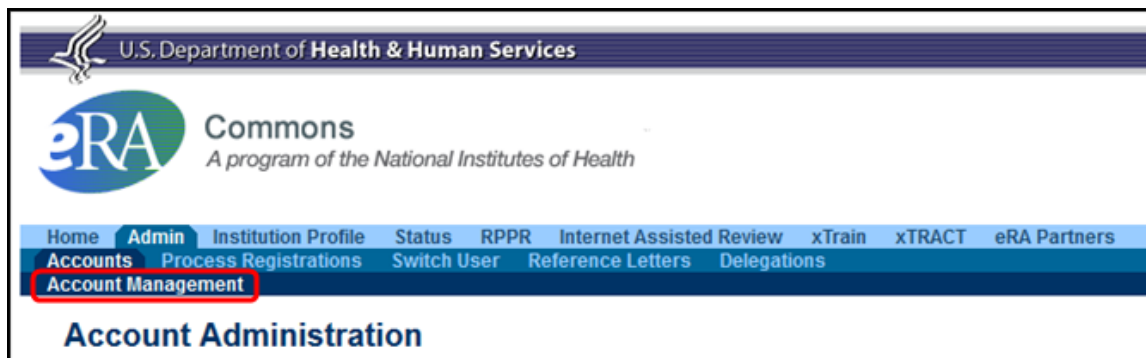
9.1.2 Create a New Commons Account for an Individual (e.g., PD/PI)

If you are a Commons user with an SO, AA, or BO role, you have the ability to create new Commons user accounts (such as for a PD/PI) using the **Manage Accounts** feature.

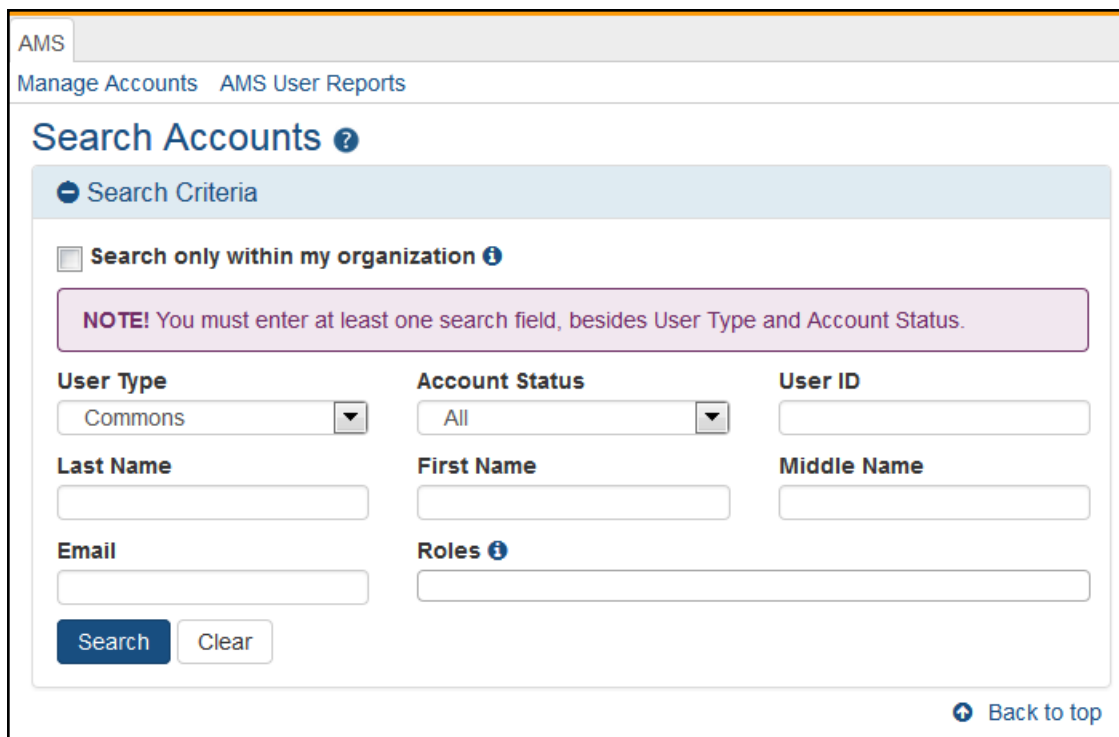
IMPORTANT: PD/PIs cannot create their own accounts. Only an SO or AA Commons user can create this account.

To create a new account:

1. Select the **Accounts** tab from within the **Admin** module.
2. Select the **Account Management** option.



The Search Accounts screen opens in a separate window. You'll notice that there is no **Create New Account** button displayed at this time. You cannot create a new account until you perform a search for the account first. This measure is in place to help avoid the creation of duplicate accounts.



The screenshot shows the 'Search Accounts' interface within the AMS system. At the top, there are navigation links for 'Manage Accounts' and 'AMS User Reports'. The main heading is 'Search Accounts' with a help icon. Below this is a 'Search Criteria' section containing a checkbox for 'Search only within my organization'. A purple note box states: 'NOTE! You must enter at least one search field, besides User Type and Account Status.' The search fields are organized into three columns: 'User Type' (a dropdown menu currently showing 'Commons'), 'Account Status' (a dropdown menu currently showing 'All'), and 'User ID' (a text input field). Below these are 'Last Name', 'First Name', and 'Middle Name' text input fields. At the bottom left are 'Email' and 'Roles' (with a help icon) text input fields. 'Search' and 'Clear' buttons are located at the bottom left of the form area. A 'Back to top' link is at the bottom right.

NOTE: By default, the "Search only within my organization" checkbox is *not* checked so that existing accounts for investigators and other scientific roles may be located and affiliated instead of creating new accounts. PI roles, for example, are intended to be used throughout the investigator's career regardless of their current affiliation(s).

3. Search for the person (**Last Name**, **First Name**) whose account you are creating. After performing the search, if no existing account is found, the **Create New Account** button becomes enabled.

4. Select the Create New Account button.

The screenshot shows the 'Search Accounts' interface in the AMS system. At the top, there are links for 'Manage Accounts' and 'AMS User Reports'. Below the title 'Search Accounts', a red error banner states: 'ERROR! We searched for accounts but **No Records were Found**. Here are several error resolution suggestions. • Try to broaden your search by **adding more search parameters**. • **Create an account**.' Below the error, a 'Search Criteria' section contains a checkbox for 'Search only within my organization' and a note: 'NOTE! You must enter at least one search field, besides User Type and Account Status.' The search criteria are organized into three columns: 'User Type' (dropdown menu set to 'Commons'), 'Account Status' (dropdown menu set to 'All'), and 'User ID' (text input). Below these are 'Last Name' (text input with 'Crabtree'), 'First Name' (text input with 'Budge'), and 'Middle Name' (text input). There is also an 'Email' text input and a 'Roles' dropdown menu. At the bottom of the search criteria section are 'Search' and 'Clear' buttons. Below the search criteria section, the 'Create New Account' button is highlighted with a red rectangle. A 'Back to top' link is located at the bottom right of the page.

The *Create Account* screen displays. The **User Type** should default to **Commons** and the **Primary Organization** should default to that of your own. The **User Type** field can be changed if necessary.

AMS

Manage Accounts AMS User Reports

Create Account ?

All fields are required unless they're marked (Optional)

[Go Back](#)

User Information

User Type

Commons ▼

User ID

Primary Organization

[Your institution name]

Contact Information

Last Name

First Name

Middle Name (Optional)

Email

Confirm Email

Roles ?

+ Add Roles

Create Clear

5. On the *Create Account* screen, enter the **Personal Information** fields. Note that all fields except **Middle Name** are required.
- **User Type:** Select **Commons** from the drop-down list if it is not already displayed.
 - **User ID:** Enter a unique name as the system username.
 - **Organization:** This field defaults to your organization and cannot be changed. If an individual needs to be affiliated with your organization and already has a non-administrative account with another institution (primarily Primary Investigators - PI), search for them outside of your organization and affiliate their existing account with your institution.
 - **First Name**
 - **Middle Name**
 - **Last Name**
 - **E-mail**
 - **Confirm e-mail**

- After entering **Personal Information**, you can assign a role to the account. Click on the **+** **Add Roles** button to open the *AMS | Add Roles* tool. A separate window will open. The organization will default to the current user's institution and cannot be changed. Below the *Organization* field is the list of roles available to the type of user selected.

AMS | Add Roles

Organization

[Your institution name]

Role(s) *(to multi-select, please use ctrl or shift keys)*

FSR - Financial Reporting users

GRADUATE_STUDENT - Graduate Student

PACR - Public Access Compliance Role

PI - Principal Investigator

POSTDOC - POSTDOC

PROJECT_PERSONNEL - Project Personnel

SCIENTIST - Scientist

SO - Signing Official

Sponsor Users

Sponsor Users

SPONSOR - Sponsor Users

SPONSOR - Undergraduate

Close

Add Role(s)

7. Select the role or roles required for the new account. You may use multi-select in order to choose multiple roles to add at one time.
8. Click on the **Add Role(s)** button when all roles have been selected. You will be taken back to the *Create Account* screen and the new roles will be listed.

Contact Information

Last Name

First Name

Middle Name (Optional)

Email

Confirm Email

Roles ?

| Role(s) ▲ | Organization(s) ▼ | Action |
|-----------|-------------------------|---|
| PI | [Your institution name] | <input type="button" value="x Remove"/> |

Showing 1 - 1 of total 1

9. If it is necessary to add additional roles (now or later), repeat the same steps.
10. When all necessary roles are displayed, click on the **Create** button and the new account will be created. Clicking on the **Clear** button will reset the page to blanks except for the default institution.
11. *Optional:* If a role is either no longer required or if it was added in error, use the **x Remove** button to eliminate that role for that account.

9.2 Delegations

Organizational institutions and users of the Commons system may grant other institutional Commons users the authority to enter and process grant information, update PPF information, submit RPPR information, work with specific modules, and ensure that NIH has associated (i.e., linked) the proper NIH support. This method of assigning (and revoking) authority to other Commons users to perform specific functions is called Delegation.

Commons users may delegate specific authorities to other Commons users for their own accounts such as when a PI delegates the Progress Report authority to another PI or a Sponsor delegates to an assistant. Additionally, administrative users such as SO may delegate certain authorities on behalf of another Commons user. For example, an SO may grant an ASST user the Sponsor authority on behalf of a Commons Sponsor user.

Listed below is a table of the types of delegation authorities in Commons, along with who may grant that authority and whom may receive it.

Table 1: Delegation Authorities

| Authority Type | Delegated By | Delegated To | Description |
|-----------------|----------------------------------|--|---|
| Progress Report | SO, AA, AO (on behalf of PI) | PI | Enables the PI to submit progress reports for another PI |
| Progress Report | PI | Any active user within the Institution | Enables the authorized user to submit progress reports for the PI |
| Sponsor | SO, AA (on behalf of SPONSOR) | ASST | Allows the ASST to access the xTrain module |
| Status | PI | ASST | Allows the ASST to work with the Status module |
| PPF | All Commons users | All Commons users | Enables another user to edit someone else's personal profile |
| Submit | SO, BO | PI | Enables the PI to submit RPPR and MYPR reports |
| xTrain | PI, SPONSOR | ASST | Enables the ASST to work with the xTrain module |

NOTE: Delegations are not permanent and can be revoked at any time.

9.2.1 Delegate on Behalf of Another User

Administrative users such as Signing Officials (SO), Account Administrators (AA), and Account Officials (AO) may delegate authority to specific users on behalf of someone else. The information within this section refers to this process.

9.2.1.1 Delegating Progress Report Authority on Behalf of Another User

NOTE: This topic discusses delegating authority for another user's account. [Refer to the section of this document titled *Direct Delegations* on Page 70](#) if you would like information for delegating authority to your own account.

The SO, AA, or AO may delegate Progress Report authority to a PI on behalf of another PI.

To delegate Progress Report authority on behalf of a PI:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** area of the screen displays a table of existing delegations. This table indicates *No records found* if no delegations exist.

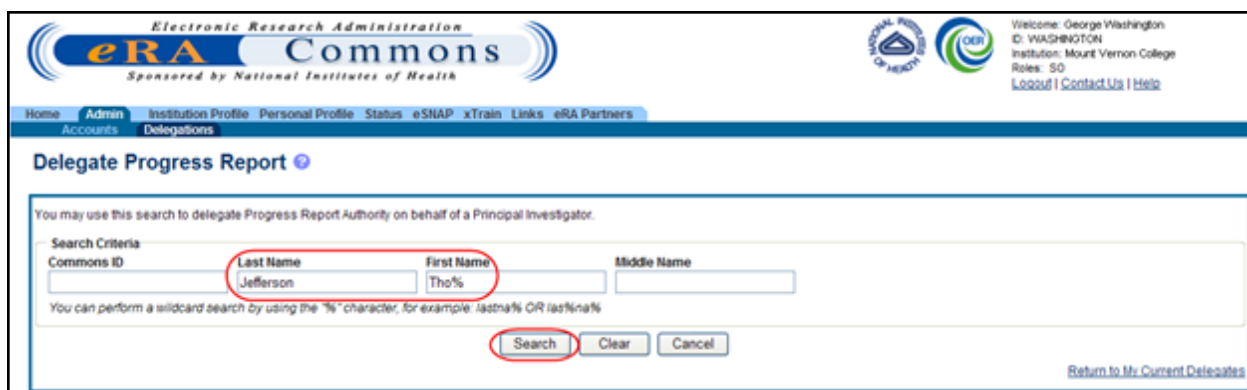
3. Select the link called **Delegate Progress Report**.



The *Delegate Progress Report* screen opens with search criteria displayed for locating and selecting a specific Principal Investigator on whose behalf the Progress Report authority is being granted. The parameters include **Commons ID**, **Last Name**, **First Name**, and **Middle Name**. The screen includes a **Search** button and **Cancel** button as well as a **Return to My Current Delegates** link for leaving the search screen and returning to the previous Commons screen.

The search parameter fields can be used with the percent sign (%) wild card.

4. Enter the appropriate search criteria using the wild card (%) if necessary.
5. Select the **Search** button to perform the search.



The matching records display within the **Search Results** on the page.

- Choose the **Select** link to indicate the PI on whose behalf you are designating authority.

Electronic Research Administration Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: SO
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners
Accounts Delegations

Delegate Progress Report

You may use this search to delegate Progress Report Authority on behalf of a Principal Investigator.

Search Criteria

Commons ID: Last Name: First Name: Middle Name:

You can perform a wildcard search by using the "%" character, for example: lastname% OR lastname%

Search Results

One 'third party delegator' record found.

| Name | Role(s) | Commons ID | Action |
|-------------------|-----------------|-------------|------------------------|
| Jefferson, Thomas | PROGRESS REPORT | JEFFERSON.T | Select |

[Return to My Current Delegates](#)

A message displays at the top of the screen as follows: *You have selected to delegate Progress Report Authority on behalf of: <Name>.*

Additionally, search parameters display for searching and selecting the user to whom to delegate the authority.

- Enter the search parameters necessary for locating the PI to whom you are giving authority and select the **Search** button.

The matching records display in the **Search Results** table.

- Click the link called **Select** to select the appropriate person from the list.

Electronic Research Administration Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: SO
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners
Accounts Delegations

Delegate Progress Report

You have selected to delegate Progress Report Authority on behalf of: **Jefferson, Thomas**

Search Criteria

Commons ID: Last Name: First Name: Middle Name:

You can perform a wildcard search by using the "%" character, for example: lastna% OR last%na%

Search Results

One 'third party delegatee' record found.

| Name | Role(s) | Commons ID | Progress Report | Action |
|-------------|---------|------------|-----------------|---------------------------------------|
| ADAMS, JOHN | | ADAMS.J | | <input type="button" value="Select"/> |

[Return to My Current Delegates](#)

The *Delegate Progress Report* screen shows the selected PI name with the Progress Report authority and checkbox.

9. Check the **Progress Report** box.
10. Select the **Save** button.

NOTE: Selecting the **Cancel** button will cancel the action without delegating any authority to the user.

Electronic Research Administration Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: SO
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners
Accounts Delegations

Delegate Progress Report

Delegate Progress Report Authority

On behalf of **Jefferson, Thomas**, you have selected to delegate access to: **ADAMS, JOHN; ADAMS.J; PI**

You may assign the following delegation: ☒ **Progress Report**

[Return to My Current Delegates](#)

The **Search Results** area updates to show the **Progress Report** authority marked with a check. Commons grants the Progress Report authority for the delegated user, who receives an email informing of the change. The delegated PI is now able to submit progress reports for the selected PI.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHWOTON
Institution: Mount Vernon College
Role: SO
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners
Accounts Delegations

Delegate Progress Report

You have selected to delegate Progress Report Authority on behalf of: **Jefferson, Thomas**

Search Criteria

Commons ID: Last Name: First Name: Middle Name:

You can perform a wildcard search by using the "%" character, for example: lastname% OR lastname%

Search Results

One 'third party delegatee' record found.

| Name | Role(s) | Commons ID | Progress Report | Action |
|-------------|-----------------|------------|-----------------|--------|
| ADAMS, JOHN | PROGRESS REPORT | ADAMS.J | ✓ | Select |

[Return to My Current Delegates](#)

The PI, on whose behalf delegation was granted, can see the delegated user by accessing the **My Current Delegations** information.

9.2.1.2 Delegate Sponsor Authority on Behalf of Another User

NOTE: This topic discusses delegating authority for another user's account. [Refer to the section of this document titled *Direct Delegations* on Page 70](#) if you would like information for delegating authority to your own account.

The SO and AA may delegate Sponsor authority to someone with an ASST role on behalf of a Sponsor. When delegating Sponsor authority, the SO authorizes a selected user with an ASST role to perform functions in xTrain for a particular user with a Sponsor role. The SO is delegating this authority to the ASST on behalf of the Sponsor.

To delegate Sponsor authority on behalf of a Sponsor:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** section displays a table of existing delegations. This table indicates *No records found* if no delegations exist.

3. Select the link called **Delegate Sponsor**.

The *Delegate Sponsor* screen opens with search parameters displayed for locating and selecting a specific Sponsor on whose behalf the Sponsor Authority is being granted. The parameters include **Commons ID**, **Last Name**, **First Name**, and **Middle Name**. The screen includes a **Search** button and **Cancel** button as well as a **Return to My Current Delegates** link for leaving the search screen and returning to the previous Commons screen.

NOTE: The search parameter fields can be used with the percent sign (%) wild card.

4. Enter the appropriate search criteria using the wild card (%) if necessary.
5. Select the **Search** button to perform the search.

The matching records display within the **Search Results** on the page.

6. Choose the **Select** link to indicate the Sponsor on whose behalf you are designating authority.

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Accounts Delegations

Delegate Sponsor

You may use this search to delegate Sponsor Authority on behalf of a Sponsor User.

Search Criteria

Commons ID:
 Last Name:
 First Name:
 Middle Name:

You can perform a wildcard search by using the "%" character, for example: lastname% OR lastname%

Search Results

One 'third party delegator' record found.

| Name | Role(s) | Commons ID | Action |
|----------------|--------------------------|------------|------------------------|
| Madison, James | PROGRESS REPORT, SPONSOR | JMADISON | Select |

[Return to My Current Delegates](#)

A message displays at the top of the screen as follows: *You have selected to delegate Sponsor Authority on behalf of: <Name>.*

Additionally, search parameters display for searching and selecting the user to whom to delegate the authority.

7. Enter the search parameters necessary for locating the ASST user being given authority and select the **Search** button.

The matching records display in the **Search Results** table.

8. Click the link called **Select** to select the appropriate person from the list.

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Accounts Delegations

Delegate Sponsor

You have selected to delegate Sponsor Authority on behalf of: **Lincoln, Abraham**

Search Criteria

Commons ID:
 Last Name:
 First Name:
 Middle Name:

You can perform a wildcard search by using the "%" character, for example: lastname% OR lastname%

Search Results

One 'third party delegatee' record found.

| Name | Role(s) | Commons ID | Sponsor | Action |
|------------------|---------|------------|---------|------------------------|
| Lincoln, Abraham | ASST | A_LINCOLN | | Select |

[Return to My Current Delegates](#)

The *Delegate Sponsor* screen shows the selected ASST user's name with the Sponsor authority and checkbox.

9. Mark the **Sponsor** checkbox.
10. Select the **Save** button.

NOTE: Selecting the **Cancel** button cancels the action without delegating any authority to the user.

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Delegate Sponsor

Delegate Sponsor Authority
On behalf of **Madison, James**, you have selected to delegate access to: **Lincoln, Abraham, A. LINCOLN** ASST
You may assign the following delegation: ☒ **Sponsor**

[Return to My Current Delegates](#)

The **Search Results** area updates to show the Sponsor authority marked with a check. Commons grants the Sponsor authority for the delegated user, who receives an email informing of the change. The delegated ASST user is now able to perform xTrain functions for the selected Sponsor.

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Accounts Delegations

Delegate Sponsor

You have selected to delegate Sponsor Authority on behalf of **Johns, Josephine M.**

Search Criteria
Commons ID Last Name First Name Middle Name
 Lincoln Ab%

You can perform a wildcard search by using the "%" character, for example: lastname% OR lastname%

Search Results
One "third party delegatee" record found.

| Name | Role(s) | Commons ID | Sponsor | Action |
|------------------|---------|------------|-------------------------------------|--------|
| Lincoln, Abraham | ASST | A_LINCOLN | <input checked="" type="checkbox"/> | Select |

[Return to My Current Delegates](#)

The Sponsor, on whose behalf delegation was granted, can see the delegated user by accessing the **My Current Delegations** information.

9.2.1.3 Revoke Authority on Behalf of Another User

NOTE: This topic discusses revoking authority for another user's account. [Refer to the section of this document titled *Direct Delegations* on Page 70](#) if you would like information for delegating authority to your own account.

Administrative users can revoke delegated authority from a user on behalf of someone else. The steps for revoking Progress Report and Sponsor Authority are very similar. The steps below walk through the process of revoking either, depending on which one is selected from the start.

To revoke authority on behalf of another user:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** area of the screen displays a table of existing delegations. This table indicates *No records found* if no delegations exist.

3. Select the link called **Delegate Progress Report** to revoke Progress Report authority.

–OR–

Select the link called **Delegate Sponsor** to revoke Sponsor authority.



Depending on the link selected, either the *Delegate Progress Report* or *Delegate Sponsor* screen opens with search parameters displayed for locating and selecting a specific user on whose behalf the authority is being revoked. The parameters include **Commons ID**, **Last Name**, **First Name**, and **Middle Name**. The screen includes a **Search** button and **Cancel** button as well as a **Return**

to **My Current Delegates** link for leaving the search screen and returning to the previous Commons screen.

NOTE: The search parameter fields can be used with the percent sign (%) wild card.

4. Enter the appropriate search criteria using the wild card (%) if necessary.
5. Select the **Search** button to perform the search.

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Accounts Delegations

Delegate Progress Report

You may use this search to delegate Progress Report Authority on behalf of a Principal Investigator.

Search Criteria

| Commons ID | Last Name | First Name | Middle Name |
|------------|-----------|------------|-------------|
| | Jefferson | Tho% | |

You can perform a wildcard search by using the "%" character, for example: :lastna% OR last%na%

[Search](#) [Clear](#) [Cancel](#)

[Return to My Current Delegates](#)

The matching records display within the **Search Results** on the page.

6. Choose the **Select** link to indicate the user on whose behalf you are revoking authority.

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Accounts Delegations

Delegate Progress Report

You may use this search to delegate Progress Report Authority on behalf of a Principal Investigator.

Search Criteria

| Commons ID | Last Name | First Name | Middle Name |
|------------|-----------|------------|-------------|
| | Jefferson | Tho% | |

You can perform a wildcard search by using the "%" character, for example: :lastna% OR last%na%

[Search](#) [Clear](#) [Cancel](#)

Search Results

One 'third party delegator' record found.

| Name | Role(s) | Commons ID | Action |
|-------------------|-----------------|-------------|------------------------|
| Jefferson, Thomas | PROGRESS REPORT | JEFFERSON.T | Select |

[Return to My Current Delegates](#)

Search parameters display for searching and selecting the user for whom to revoke the authority.

7. Enter the search parameters necessary for locating the appropriate user and select the **Search** button.

The matching records display in the **Search Results** table.

8. Click the link called **Select** to select the appropriate person from the list.

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Accounts Delegations

Delegate Progress Report

You have selected to delegate Progress Report Authority on behalf of: **Jefferson, Thomas**

Search Criteria

Commons ID: Last Name: First Name: Middle Name:

You can perform a wildcard search by using the "%" character, for example: lastname% OR lastname%

Search Results

One 'third party delegatee' record found.

| Name | Role(s) | Commons ID | Progress Report | Action |
|-------------|---------|------------|-------------------------------------|------------------------|
| ADAMS, JOHN | | ADAMS.J | <input checked="" type="checkbox"/> | Select |

[Return to My Current Delegates](#)

The screen shows the selected user's name with the authority and a marked checkbox.

9. Unmark the checkbox for the authority being revoked.
10. Select the **Save** button.

NOTE: Selecting the **Cancel** button will cancel the action without delegating any authority to the user.

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Delegate Progress Report

Delegate Progress Report Authority

On behalf of **Jefferson, Thomas**, you have selected to delegate access to: **ADAMS, JOHN; ADAMS.J; PI**

You may assign the following delegation: ☐ **Progress Report**

[Return to My Current Delegates](#)

The **Search Results** area updates to show the authority field (Progress Report or Sponsor) unmarked for specified the user. This indicates that the selected user no longer has that authority for the chosen PI/Sponsor. The user receives an email informing of the change and no longer appears in the **My Current Delegations** section for the PI/Sponsor.

9.2.2 Institutional Delegation

Signing Officials and Business Officials may delegate authority to PIs within their institutions to allow those PIs to submit Research Performance Progress Reports (RPPR) and Final Research Performance Progress Report (Final RPPR) electronically to NIH. This same authority may be revoked at any time.

Granting and revoking Submit authority is managed through the *My Delegations* screen in Commons.

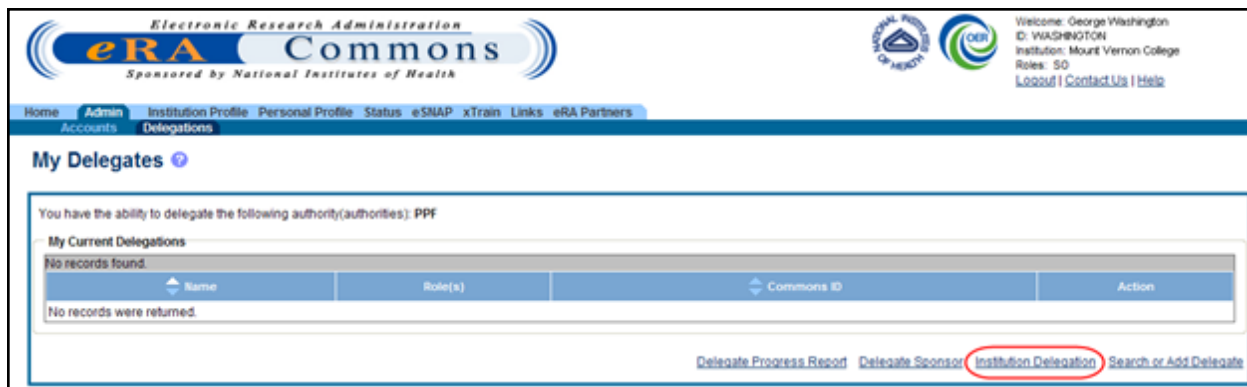
9.2.2.1 Delegating Institutional Submit Progress Report Authority

To delegate Institutional Submit Progress Report authority to one or more users within the same institution:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens.

3. Select the link called **Institution Delegation**.



The *Institution Delegations* screen displays. This screen shows **Current Submit Progress Report Delegations** in a table at the top and **Candidates for Submit Progress Report Delegation** in a table at the bottom.

The **Candidates for Submit Progress Report Delegation** table is used for delegating the authority while the **Current Submit Progress Report Delegations** is used for viewing or revoking the authority of those who already possess it.

NOTE: This section walks through the steps for granting the authority. [Refer to the section of this document titled *Revoking Institutional Submit Progress Report Authority* on Page 66](#) for the steps on revoking the authority.

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Institution Delegations

You have the authority to delegate **Submit Progress Report** for your Institution.

Current Submit Progress Report Delegations

| Name | Commons ID | Submit Progress Report |
|-------------------|-------------|--------------------------|
| Jefferson, Thomas | JEFFERSON.T | <input type="checkbox"/> |

[Revoke Delegation\(s\)](#) [Select All](#) [Clear All](#)

Candidates for Submit Progress Report Delegation

| Name | Commons ID | Submit Progress Report |
|-------------------------|-------------|--------------------------|
| Buchanan, James | BUCHANAN.J | <input type="checkbox"/> |
| Cleveland, Grover | CLEVELAND | <input type="checkbox"/> |
| Fillmore, Millard | FILLMORE.M | <input type="checkbox"/> |
| Garfield, James | JGARFIELD | <input type="checkbox"/> |
| Grant, Ulysses S. | USGRANT | <input type="checkbox"/> |
| Harrison, William Henry | HARRISON.WH | <input type="checkbox"/> |
| Hoover, Herbert | HJ_HOOVER | <input type="checkbox"/> |

[Grant Delegation\(s\)](#) [Select All](#) [Clear All](#)

[Return to My Current Delegates](#)

The **Candidates for Submit Progress Report Delegation** table includes all users in the institution who are eligible for Submit Progress Report authority. The table includes the **Name** and **Commons ID** of each user along with a **Submit Progress Report** checkbox for selecting that user. The **Select All** and **Clear All** buttons also exist for selecting all users in the table or clearing any current selections made.

NOTE: Each table has its own set of buttons to control either granting or revoking the authority.

The **Return to My Current Delegates** link exists at the bottom of the screen for cancelling any action and returning to the previous Commons screen.

- From the **Candidates for Submit Progress Report Delegation** table, mark the individual **Submit Progress Report** checkbox(es) to indicate the appropriate user(s) for Submit Progress Report delegation.

–OR–

Click the **Select All** button to grant Submit Progress Report authority to all listed users.

Tip: If granting Submit Progress Report authority to more users than not, click the **Select All** button to select all users in the table. When all users are selected, uncheck the individual **Submit Progress Report** checkboxes for any user not being granted authority.

- With the appropriate names checked, select the **Grant Delegation(s)** button.

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Institution Delegations

You have the authority to delegate **Submit Progress Report** for your Institution.

Current Submit Progress Report Delegations

| Name | Commons ID | Submit Progress Report |
|-------------------|-------------|--------------------------|
| Jefferson, Thomas | JEFFERSON.T | <input type="checkbox"/> |

[Revoke Delegation\(s\)](#) [Select All](#) [Clear All](#)

Candidates for Submit Progress Report Delegation

| Name | Commons ID | Submit Progress Report |
|-------------------------|-------------|-------------------------------------|
| Buchanan, James | BUCHANAN.J | <input checked="" type="checkbox"/> |
| Cleveland, Grover | CLEVELAND | <input type="checkbox"/> |
| Filmore, Millard | FILMORE.M | <input type="checkbox"/> |
| Garfield, James | JGARFIELD | <input type="checkbox"/> |
| Grant, Ulysses S. | USGRANT | <input type="checkbox"/> |
| Harrison, William Henry | HARRISON.WH | <input type="checkbox"/> |
| Hoover, Herbert | HJHOOVER | <input type="checkbox"/> |

[Grant Delegation\(s\)](#) [Select All](#) [Clear All](#)

[Return to My Current Delegates](#)

The *Institution Delegations* screen updates to display a certification and acceptance agreement. From this screen, certify acceptance that by delegating the selected users to submit RPPR and MYPR reports, you are granting them the ability to answer the following statement on your behalf:

I certify that the statements herein are true, complete, and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

- Select the **I Agree** button to certify and confirm delegation.

NOTE: The **Cancel** button cancels the action and returns the *Institution Delegations* screen without saving the changes.

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Institution Delegations

DELEGATION OF AUTHORITY FOR APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE:

By delegating the authority to submit eSNAP/MyPR Progress Reports to the NIH, you agree to allow these individuals to answer the following statement for you:

I certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

Delegate Name: Buchanan, James
Title: Assistant Professor
Address: MOUNT VERNON COLLEGE
SCHOOL OF SCIENCES
123 MAIN STREET
MOUNT VERNON, VA 12345

Commons grants the Submit Progress Report authority for the selected users, who receive an email informing them of the change. The *Institution Delegations* screen displays the selected names in the **Current Submit Progress Report Delegations** table at the top of the screen. These names no longer appear in the **Candidates for Submit Progress Report Delegation** table.

Institution Delegations

You have the authority to delegate Submit Progress Report for your Institution.

Current Submit Progress Report Delegations

| Name | Commons ID | Submit Progress Report |
|-------------------|-------------|--------------------------|
| Buchanan, James | BUCHANAN_J | <input type="checkbox"/> |
| Jefferson, Thomas | JEFFERSON.T | <input type="checkbox"/> |

Candidates for Submit Progress Report Delegation

| Name | Commons ID | Submit Progress Report |
|-------------------------|-------------|--------------------------|
| Cleveland, Grover | CLEVELAND | <input type="checkbox"/> |
| Fillmore, Millard | FILLMORE.M | <input type="checkbox"/> |
| Garfield, James | JGARFIELD | <input type="checkbox"/> |
| Grant, Ulysses S. | USGRANT | <input type="checkbox"/> |
| Harrison, William Henry | HARRISON.WH | <input type="checkbox"/> |
| Hoover, Herbert | H.HOOVER | <input type="checkbox"/> |
| McKinley, William | WMCKINLEY | <input type="checkbox"/> |

[Return to My Current Delegates](#)

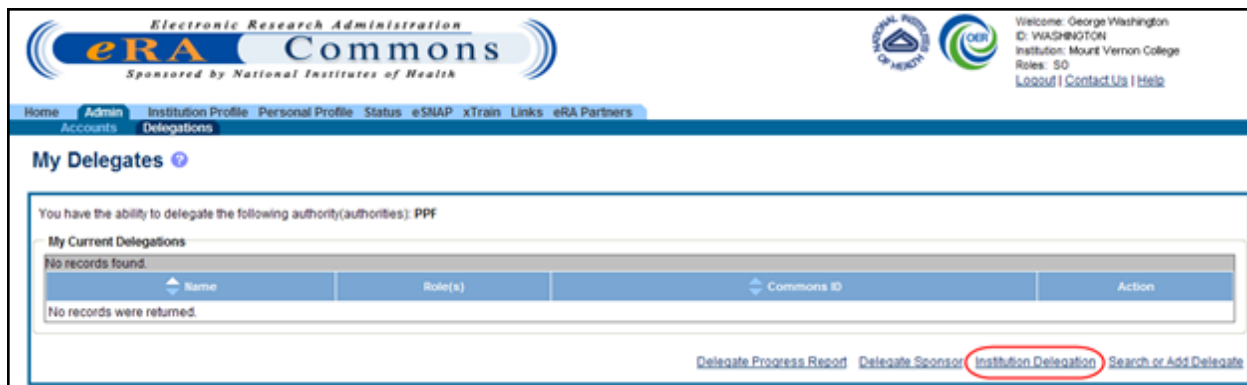
9.2.2.2 Revoking Institutional Submit Progress Report Authority

To revoke Institutional Submit Progress Report authority from one or more users within the same institution:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens.

3. Select the link called **Institution Delegation**.



The *Institution Delegations* screen displays. This screen shows **Current Submit Progress Report Delegations** in a table at the top and **Candidates for Submit Progress Report Delegations** in a table at the bottom.

The **Current Submit Progress Report Delegations** is used for revoking the authority while the **Candidates for Submit Progress Report Delegation** table is used for delegating the authority to those who do not possess it already.

NOTE: This section walks through the steps for revoking the authority. [Refer to the section of this document titled *Delegating Institutional Submit Progress Report Authority* on Page 63](#) for the steps on granting the authority.

The **Current Submit Progress Report Delegations** table includes all users in the institution who possess the Submit Progress Report authority. The table includes the **Name** and **Commons ID** of each user along with a **Submit Progress Report** checkbox for selecting that user. The **Select All** and **Clear All** buttons also exist for selecting all users in the table or clearing any current selections made.

NOTE: Each table has its own set of buttons to control either granting or revoking the delegation.

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Accounts Delegations

Institution Delegations

You have the authority to delegate **Submit Progress Report** for your Institution.

Current Submit Progress Report Delegations

| Name | Commons ID | Submit Progress Report |
|-------------------|-------------|--------------------------|
| Buchanan, James | BUCHANAN_J | <input type="checkbox"/> |
| Jefferson, Thomas | JEFFERSON.T | <input type="checkbox"/> |

[Revoke Delegation\(s\)](#) [Select All](#) [Clear All](#)

Candidates for Submit Progress Report Delegation

| Name | Commons ID | Submit Progress Report |
|-------------------------|-------------|--------------------------|
| Cleveland, Grover | CLEVELAND | <input type="checkbox"/> |
| Filmore, Millard | FILMORE.M | <input type="checkbox"/> |
| Garfield, James | GARFIELD | <input type="checkbox"/> |
| Grant, Ulysses S. | USGRANT | <input type="checkbox"/> |
| Harrison, William Henry | HARRISON.WH | <input type="checkbox"/> |
| Hoover, Herbert | H.HOOVER | <input type="checkbox"/> |
| McKinley, William | WMCKINLEY | <input type="checkbox"/> |

[Grant Delegation\(s\)](#) [Select All](#) [Clear All](#)

[Return to My Current Delegates](#)

The **Return to My Current Delegates** link exists at the bottom of the screen for cancelling any action and returning to the previous Commons screen.

- From the **Current Submit Progress Report Delegations** table, use the **Submit Progress Report** checkbox(es) to mark the appropriate user(s) whose authority is being revoked.

—OR—

Click the **Select All** button to revoke the authority from all listed users.

- With the appropriate names checked, select the **Revoke Delegation(s)** button.

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Institution Delegations

You have the authority to delegate **Submit Progress Report** for your Institution.

Current Submit Progress Report Delegations

| Name | Commons ID | Submit Progress Report |
|-------------------|-------------|-------------------------------------|
| Buchanan, James | BUCHANAN_J | <input type="checkbox"/> |
| Jefferson, Thomas | JEFFERSON_T | <input checked="" type="checkbox"/> |

[Revoke Delegation\(s\)](#) [Select All](#) [Clear All](#)

Candidates for Submit Progress Report Delegation

| Name | Commons ID | Submit Progress Report |
|-------------------------|------------|--------------------------|
| Cleveland, Grover | CLEVELAND | <input type="checkbox"/> |
| Fillmore, Millard | FILLMORE_M | <input type="checkbox"/> |
| Garfield, James | GARFIELD | <input type="checkbox"/> |
| Grant, Ulysses S. | USGRANT | <input type="checkbox"/> |
| Harrison, William Henry | HARRISONWH | <input type="checkbox"/> |
| Hoover, Herbert | H_HOOVER | <input type="checkbox"/> |
| McKinley, William | WMCKINLEY | <input type="checkbox"/> |

[Grant Delegation\(s\)](#) [Select All](#) [Clear All](#)

[Return to My Current Delegates](#)

The *Institution Delegations* screen displays a confirmation message. The screen prompts for confirmation that the selected users should have their authority revoked. The screen lists the **Name**, **Title**, and **Address** information (if available) for each selected user from the previous screen.

6. Select the **I Agree** button to confirm.

NOTE: The **Cancel** button cancels the action and returns the Institution Delegations screen without saving the changes.

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Institution Delegations

Please confirm that you want to **REVOKE** the following delegations:

Delegate Name: Jefferson, Thomas
Title: Assistant Professor
Address: MOUNT VERNON COLLEGE
SCHOOL OF SCIENCES
123 MAIN STREET
MOUNT VERNON, VA 12345

[I Agree](#) [Cancel](#)

Commons revokes the Submit Progress Report authority for the selected users, who receive an email informing them of the change. The *Institution Delegations* screen displays the selected names in the **Candidates for Submit Progress Report Delegation** table at the bottom of the screen. These names no longer appear in the **Current Submit Progress Report Delegations** table.

Institution Delegations ⓘ

You have the authority to delegate Submit Progress Report for your Institution.

Current Submit Progress Report Delegations

| Name | Commons ID | Submit Progress Report |
|-----------------|------------|--------------------------|
| Buchanan, James | BUCHANAN_J | <input type="checkbox"/> |

Revoke Delegation(s) Select All Clear All

Candidates for Submit Progress Report Delegation

| Name | Commons ID | Submit Progress Report |
|-------------------------|-------------|--------------------------|
| Cleveland, Grover | CLEVELAND | <input type="checkbox"/> |
| Filmore, Milard | FILMORE_M | <input type="checkbox"/> |
| Garfield, James | JGARFIELD | <input type="checkbox"/> |
| Grant, Ulysses S. | USGRANT | <input type="checkbox"/> |
| Harrison, William Henry | HARRISON_WH | <input type="checkbox"/> |
| Hoover, Herbert | H_HOOVER | <input type="checkbox"/> |
| Jefferson, Thomas | JEFFERSON_T | <input type="checkbox"/> |

Grant Delegation(s) Select All Clear All

[Return to My Current Delegates](#)

9.2.3 Direct Delegations

Some Commons users can delegate authority directly to another Commons user so that user can access features in Commons (e.g., FCOI). Some users can also grant authority to another Commons user to access features of their own account (e.g., Personal Profile). Depending on the type of Commons user granting the authority and the type of user being granted, delegation could occur for the following:

- **Delegate Progress Report authority**

A PI may delegate his Progress Report authority to any active user within his same institution.

- **Delegate Status authority**

A PI may grant someone with an ASST role the authority to work with the Commons Status feature by delegating Status authority.

- **Delegate PPF authority**

Any active Commons user can grant another active user the ability to enter his Personal Profile by delegating PPF authority.

- **Delegate xTrain authority**

A PI or a Sponsor may grant an ASST the ability to work with xTrain by delegating xTrain authority.

9.2.3.1 Delegate Authority to Someone

NOTE: This topic discusses delegating authority directly to another user or to someone who needs to access your own account information. [Refer to the section of this document titled *Delegate on Behalf of Another User* on Page 52](#) if you would like information for delegating authority to a user on behalf of someone else.

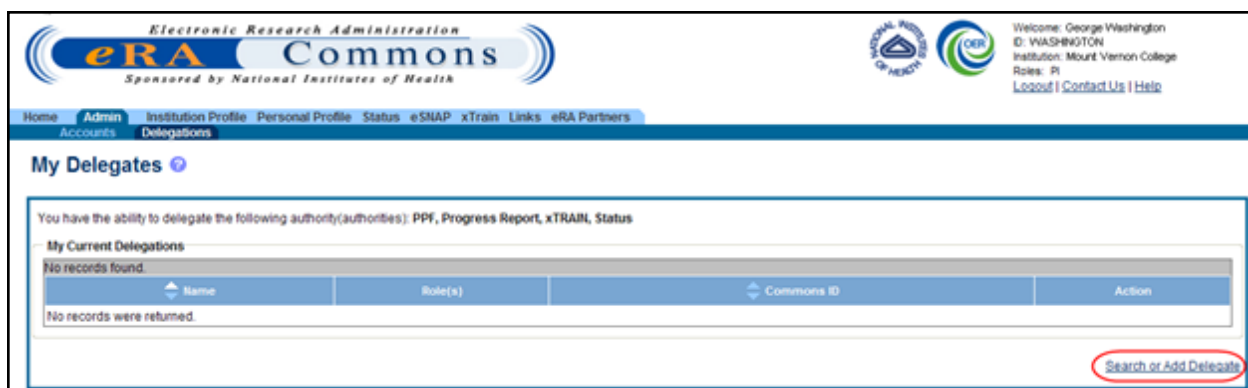
To delegate authority against your account or directly to another Commons user:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** area of the screen displays a table of existing delegations. This table indicates *No records found* if no delegations exist. [Refer to the section of this document titled *Edit Delegations* on Page 76](#) for steps on editing existing delegations.

Depending on your Commons role, you may not be able to delegate all types of authority. The screen lists the authority available for delegation.

3. Select the link called **Search or Add Delegate**.



The *Search for Delegates* search parameters display on the screen. These parameters include **Commons ID**, **Last Name**, **First Name**, **Middle Name**, and **Role(s)**. The roles display in a drop-down list where one or more may be selected.

4. Enter the appropriate search criteria for conducting the search. If necessary, the percent sign (%) may be used as a wildcard character. Hold down the CTRL key when selecting roles to select more than one.
5. Select the **Search** button.

NOTE: Selecting the **Cancel** button cancels the search and returns the previous screen.

The screenshot shows the 'Search for Delegates' interface. At the top, there's a navigation bar with links like Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, and eRA Partners. Below this is a search form titled 'Search for Delegates'. The form includes fields for 'Commons ID', 'Last Name' (containing 'Wilson'), 'First Name' (containing 'Woodr%'), 'Middle Name', and 'Role(s)' (a dropdown menu showing 'AA' and 'AO'). A red circle highlights the 'Search' button. A tooltip on the right side of the form says 'Hold down Ctrl key to do multiple select/deselect'. Below the form, there's a link 'Return to My Current Delegates'.

Matching users display in the **Search Results** area. The results include the user's name, role(s), Commons ID, and delegated authorities. Any marked checkboxes under the Progress Report, Sponsor, Submit, PPF, Status, and xTrain authorities indicate that the user already has the specific authority.

NOTE: Only the available authority for delegation displays in the table.

If multiple users match the entered search parameters, they may display over several pages. To navigate through the search results, use the next and previous page arrows to move back and forth one page or use the first page and last page arrows to navigate to the beginning or end of the search result list.

NOTE: The **Clear** button can be used to clear search parameters and the related search results.

6. Find the appropriate user to whom to delegate authority. Click the **Select** link for that user.

Search for Delegates

This search may be used to add new delegates or edit the roles of your current delegates.

Search Criteria

Commons ID: [] Last Name: Wilson First Name: Woodr% Middle Name: [] Role(s): AA, AO

You can perform a wildcard search by using the "%" character, for example: lastname% OR lastname%

[Search] [Clear] [Cancel]

Search Results

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-----------------|-----------------|------------|-----|-----------------|--------|--------|--------|
| Wilson, Woodrow | PROGRESS REPORT | WILSON_WW | | | | | Select |

[Return to My Current Delegates](#)

The Delegate Authority (Authorities) screen displays with a confirmation as follows: *You have selected to delegate access to: [Name, Commons ID, Role].*

The available authorities for delegation display with checkboxes. The authority available for delegation differs depending on your Commons role and the role of the selected user. For information on delegating specific authority, refer to the [Delegation Authorities table](#).

7. Mark the checkbox of the specific authority being delegating (e.g., PPF) for the user being delegated. Multiple authorities may be selected if available.

NOTE: Clicking the **Select All** button selects all available authorities.

8. Select the **Save** button.

Delegate Authority(Authorities)

Select Delegation(s)

You have selected to delegate access to: Wilson, Woodrow; WILSON_WW; ASST

You may assign the following delegation(s): ☒ PPF ☒ Progress Report ☐ xTRAIN ☐ Status [Select All](#) [Clear All](#)

[Save](#) [Reset](#) [Cancel](#)

[Return to My Current Delegates](#)

Commons grants the specified authority for the selected users, who receive an email informing them of the change. The **Search Results** area updates with the assigned authorities marked.

Search for Delegates ⓘ

This search may be used to add new delegates or edit the roles of your current delegates.

Search Criteria

Commons ID: Last Name: First Name: Middle Name: Role(s): Hold down Ctrl key to do multiple select/deselect

You can perform a wildcard search by using the "%" character, for example: /astna% OR /ast%na%

Search Results

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-----------------|---------|------------|-----|-----------------|--------|--------|--------|
| Wilson, Woodrow | ASST | WILSON_WV | ✓ | ✓ | | | Select |

[Return to My Current Delegates](#)

9. *Optional:* Repeat the steps as necessary to delegate other users.
10. Select the **Return to My Current Delegations** link to return the *My Delegates* screen.

My Current Delegates shows the delegated user with a checkmark in the associated column for each authority granted.

Electronic Research Administration
eRA Commons
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Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners
Accounts Delegations

My Delegates ⓘ

You have the ability to delegate the following authority(ies): PPF, Progress Report, xTRAIN, Status

My Current Delegations

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-----------------|---------|------------|-----|-----------------|--------|--------|--------|
| Wilson, Woodrow | ASST | WILSON_WV | ✓ | ✓ | | | Select |

[Search or Add Delegate](#)

9.2.3.2 Search Delegations

To search for users to view their delegations:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. If applicable, the **My Current Delegations** area of the screen displays a table of existing delegations. This table indicates *No records found* if no delegations exist.

3. Select the link called **Search or Add Delegate**.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: PI
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Accounts Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners

My Delegates

You have the ability to delegate the following authority(ies): PPF, Progress Report, xTRAIN, Status

My Current Delegations

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-----------------|---------|------------|-------------------------------------|-------------------------------------|--------|--------|------------------------|
| Wilson, Woodrow | ASST | WILSON_W | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | | | Select |

[Search or Add Delegate](#)

The *Search for Delegates* search parameters display on the screen. These parameters include **Commons ID**, **Last Name**, **First Name**, **Middle Name**, and **Role(s)**. The roles display in a drop-down list where one or more may be selected.

4. Enter the appropriate search criteria for conducting the search. If necessary, the percent sign (%) may be used as a wildcard character. Hold down the CTRL key when selecting roles to select more than one.
5. Select the **Search** button.

NOTE: Selecting the **Cancel** button cancels the search and returns the previous screen.

Matching users display in the **Search Results** area. The results include the name, role(s), Commons ID, and delegated authorities. Any marked checkboxes under the Progress Report, Sponsor, Submit, PPF, Status, and xTrain authorities indicate that the user already has the specific authority.

If multiple users match the search entered search parameters, they may display over several pages. To navigate through the search results, use the next and previous page arrows to move back and forth one page or use the first page and last page arrows to navigate to the beginning or end of the search result list. The Clear button clears the search parameters and the related search results.

Search for Delegates

This search may be used to add new delegates or edit the roles of your current delegates.

Search Criteria

Commons ID: Last Name: First Name: Middle Name: Role(s):
 Hold down Ctrl key to do multiple select / deselect

You can perform a wildcard search by using the "%" character, for example: lastname% OR lastname%

Search Results

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-------------------|---------|------------|-----|-----------------|--------|--------|--------|
| McKinley, William | ASST | MCKINLEY | | | | | Select |

[Return to My Current Delegates](#)

9.2.3.3 Edit Delegations

To edit the delegations already assigned to users for your own account:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. The **My Current Delegations** area of the screen displays a table of all existing delegations.

3. Click **Select** link associated with the user whose delegations are being edited.

My Delegates

You have the ability to delegate the following authority(ies): PPF, Progress Report, xTRAIN, Status

My Current Delegations

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-----------------|---------|------------|-------------------------------------|-------------------------------------|--------|--------|--------|
| Wilson, Woodrow | ASST | WILSON_W | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | | | Select |

[Search or Add Delegate](#)

The *Delegate Authority (Authorities)* screen shows the selected user and the authorities available for delegation to that user. Marked checkbox(es) next to authority indicate that the authority has been granted.

4. Edit the user's delegations by marking or unmarking the checkboxes. Authorities can be marked to add or unmarked to revoke.
5. Select the **Save** button to save the changes.

NOTE: Selecting the **Cancel** button cancels the action and returns the *My Delegates* screen.

Electronic Research Administration
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Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: PI
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Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners
Accounts **Delegations**

Delegate Authority(Authorities)

Select Delegation(s)
You have selected to delegate access to: **Wilson, Woodrow; WILSON_W; ASST**

You may assign the following delegation(s): ☐ PPF ☐ Progress Report ☒ xTRAIN ☒ Status [Select All](#) [Clear All](#)

[Save](#) [Reset](#) [Cancel](#)

[Return to My Current Delegates](#)

Commons grants and/or revokes the specified authority for the selected users, who receive an email informing them of the change. **My Current Delegates** shows the delegated user with a checkmark in the associated column for each authority granted. If all authorities are revoked, that user no longer displays in the table.

My Delegates

You have the ability to delegate the following authority(ies): PPF, Progress Report, xTRAIN, Status

My Current Delegations

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-----------------|---------|------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|------------------------|
| Wilson, Woodrow | ASST | WILSON_W | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Select |

[Search or Add Delegate](#)

9.2.3.4 Remove Delegations

To remove the delegations already assigned to users for your own account:

1. Select the **Admin** tab from the Commons menu.
2. Select the **Delegations** option from the **Admin** menu.

The *My Delegates* screen opens. The **My Current Delegations** area of the screen displays a table of all existing delegations.

3. Click the **Select** link associated with the user whose delegations are being revoked.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: PI
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Accounts Delegations Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners

My Delegates

You have the ability to delegate the following authority(ies): PPF, Progress Report, xTRAIN, Status

My Current Delegations

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-----------------|---------|------------|-----|-----------------|--------|--------|--------|
| Wilson, Woodrow | ASST | WILSON_W | ✓ | ✓ | | | Select |

[Search or Add Delegate](#)

The *Delegate Authority (Authorities)* screen shows the selected user and the associated authorities. A marked checkbox next to an authority indicates that the authority has been granted.

4. Remove the delegation by unchecking the appropriate authority checkbox(es).
5. Select the **Save** button to save the changes.

NOTE: Selecting the **Cancel** button cancels the action and returns the *My Delegates* screen.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: PI
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Accounts Delegations Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners

Delegate Authority(Authorities)

Select Delegation(s)

You have selected to delegate access to: Wilson, Woodrow; WILSON_W; ASST

You may assign the following delegation(s): ☒ PPF ☐ Progress Report ☐ xTRAIN ☐ Status [Select All](#) [Clear All](#)

[Save](#) [Reset](#) [Cancel](#)

[Return to My Current Delegates](#)

Commons revokes the specified authority for the selected user, who receives an email informing of the change. **My Current Delegates** shows the delegated user with checkmarks removed from the associated columns for each authority revoked. If all authorities are revoked, that user no longer displays in the table.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome: George Washington
ID: WASHINGTON
Institution: Mount Vernon College
Roles: PI
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Accounts Delegations Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners

My Delegates

You have the ability to delegate the following authority(ies): PPF, Progress Report, xTRAIN, Status

My Current Delegations

One record found.

| Name | Role(s) | Commons ID | PPF | Progress Report | xTRAIN | Status | Action |
|-----------------|---------|------------|-----|-----------------|--------|--------|--------|
| Wilson, Woodrow | ASST | WILSON_W | ✓ | | | | Select |

[Search or Add Delegate](#)

10 Institution Profile Module (IPF)

Institutions must be registered in Commons in order to use its features. The Institution Profile (IPF) module is a central repository of information for all Commons registered applicant organizations. It is designed so that each applicant organization establishes and maintains the profile data concerning their institution. The IPF module allows the institutional SO to electronically maintain external organization profile information necessary for all grant applications from their institution.

Following the creation of an Institutional account in eRA Commons, the IPF is populated with the organizational information from registration and assigned a unique IPF number. The IPF number is an official code that uniquely identifies and associates institutional information within the NIH enterprise database.

The IPF includes information such as:

- Preferred institution name and contact information
- Name, email, and phone number for the SO(s)
- Institutional DUNS number(s)
- Institutional Assurances
- Email addresses for electronic distribution of NoA and other communications notifications

IMPORTANT: Access to the IPF module is limited by role. Not every Commons user will have access to the Institution Profile, and only users with the SO role can edit it.

10.1 Navigating the Institution Profile

If you hold one of the following Commons roles, you have access to the *Institution Profile*: AA, AO, ASST, BO, FSR, PI, POSTDOC, SCIENTIST, SPONSOR, or SO.

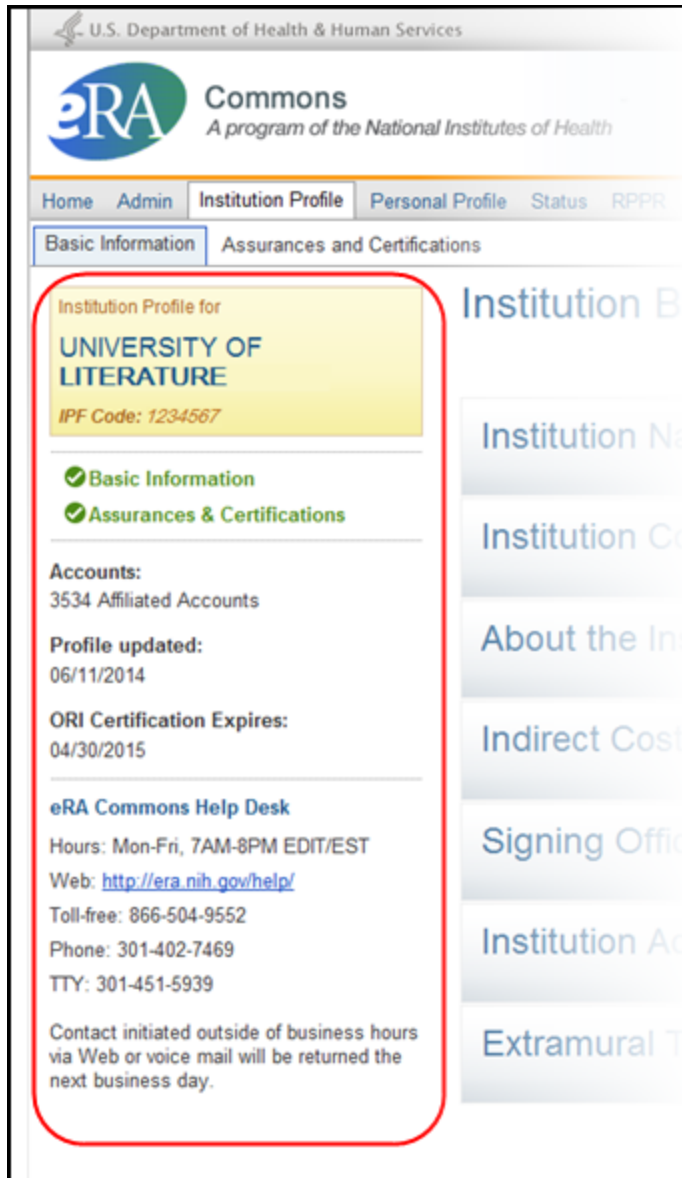
NOTE: The iEdison module employs parts of the Institution Profile, therefore some iEdison users can access it for their organizations. iEdison TTO users and admin can view the profile, but only TTO admin can edit the information.

The *Institution Profile* consists of two main sections – **Institution Basic Information** and **Institutional Assurances and Certifications** – which are viewable for all who have access to it and editable to those with an SO role. This topic discusses how to navigate around these sections of the *Institution Profile*. Details of each section are discussed in separate topics. See the related topic list at the bottom of this screen for links to those topics.

A third section of the *Institution Profile* is the dashboard, which remains on all views of the profile providing general information about the profile.

10.1.1 IPF Dashboard

The left side of the *Institution Profile* contains the dashboard of information including institution name, IPF code, update and access information for the profile; and eRA Service Desk contact information.



Institution Profile Information:

- Name of the institution
- IPF Code

Institution Profile Navigation Links

Navigation links are available in the center of the dashboard for accessing the different sections of the Institution Profile.

- **Basic Information**
- **Assurances & Certifications**

Next to each link is a status indicator, providing a visual indication of whether all required fields for that component are complete. A green checkmark indicates that the information is complete, while a red X informs that information is missing. Selecting a link opens the corresponding component of the profile in a read-only view mode.

For **Assurances & Certifications**, the green check indicates that the ORI Certification is valid and not expired.

General Information:

- **Accounts:** Number of affiliated accounts within the organization
- **Profile Updated:** System-updated date when the user last performed a save on the Institution Profile
- **ORI Certification Expires:** Date on which ORI certification expires

eRA Service Desk Information

Includes the hours, phone numbers, and web address for contacting and creating a ticket for system support as well as a link to the eRA Service Desk website.

10.1.2 Main Sections

The main section of the profile displays the **Institution Basic Information** or the **Institutional Assurances and Certifications**, depending on which link or tab you selected. You can navigate between the two by selecting the links on the dashboard or the tabs from the Commons menu structure.

For most users, available information displays as read-only. However, Commons users holding the SO role also have the option to edit these sections. Refer to the appropriate related topic listed at the bottom of this screen for more information.

10.1.3 Institution Profile Online Help Topics

Select any of the question mark icons (?) within the Institution Profile to access content specific help. The help icons are located on each Institution Profile page heading as well as within each component's heading within the **Basic Information** section. The icons will lead you to a help topic specific to the icon you selected (e.g., the icon on the **Institution Name** component heading opens the help topic pertaining to the **Institution Name** component of the Institution Profile).



The *Institution Profile* topics are part of the overall Commons Online Help and are also accessible by entering the following URL into your browser: <http://era.nih.gov/erahelp/commons>

10.2 What's the Difference Between View and Edit?

While most Commons users are only able to view the information provided in the Institution Profile, SO users have the two options: view mode and edit mode.

10.2.1 Viewing the Information in the Institution Profile

View mode provides a read-only summary of the information within a specific component of the profile. In view mode, not all maintained fields are displayed. Click the **Assurances and Certifications** tab from the Commons menu or the link of the same name from dashboard to display the *Institutional Assurances and Certifications* page. To access the *Institution Basic Information* select the **Basic Information** tab within in the Commons menu or the link in the dashboard.

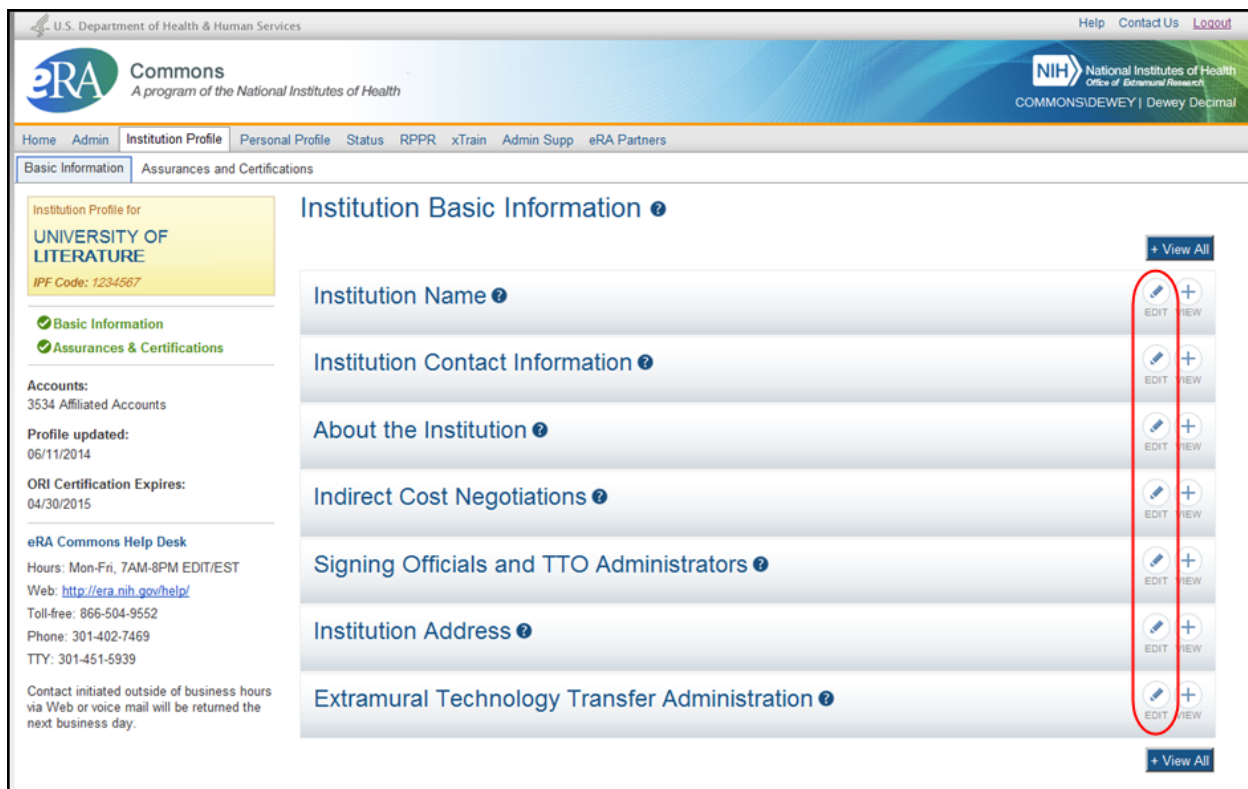
There are several methods for viewing the different components within the *Institution Basic Information* of your profile:

- Click on the heading of the individual component
- Select the **View** button from the header of an individual component to view that component's summary (select **Hide** to collapse the component).
- Select the **View** button for multiple components to display more than one at a time.
- Select the **View All** button to display the summaries of all components of your profile (select **Hide All** to hide them)

The screenshot displays the eRA Commons interface for an institution profile. The top navigation bar includes links for Home, Admin, Institution Profile, Personal Profile, Status, RPPR, xTrain, Admin Supp, and eRA Partners. The left sidebar contains a yellow box for the institution profile (University of Literature, IPF Code: 1234567), a list of accounts (3534 Affiliated Accounts), profile update date (06/11/2014), ORI certification expiration (04/30/2015), and contact information for the eRA Commons Help Desk. The main content area is titled 'Institution Basic Information' and includes sections for Institution Name, Institution Contact Information, About the Institution, Indirect Cost Negotiations, Signing Officials and TTO Administrators, and Institution Address. A red box highlights the '+ View All' button in the top right corner of the main content area.

10.2.2 Editing the Information in the Institution Profile

If you hold the SO role, you can edit any available component of your institution's profile by selecting the **Edit** button on the section's header. This expands the tile and displays the fields for editing. You can then update the information as necessary.



Keep in mind that when you select the **Edit** button for a component within the **Basic Information** section, it places you in edit mode for all components, although it may only open the specific component you selected. While in edit mode, you can continue updating the other components of the **Basic Information** by selecting the **View** button for each one.

As in the view mode, if you'd like to expand all tiles for editing at the same time, use the **View All** button at the top of the profile. Select the **Hide** (individual components) or **Hide All** to collapse the tiles.

When you are done editing the Institution Profile, select the **Save All** button. This is the only method of saving the changes you've made. Selecting **Save All** keeps you in edit mode, so you can keep saving your work along the way.

NOTE: Hiding or closing individual components of the **Basic Information** section is not the same thing as saving the information. If you navigate away from the personal profile, your changes will be lost. You must select the **Save All** button to save your changes!

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NIH National Institutes of Health
Office of Extramural Research
COMMONSIDEWAY | Dewey Decimal

Home Admin Institution Profile Personal Profile Status RPPR xTrain Admin Supp eRA Partners

Basic Information Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
06/11/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Basic Information ?

+ View All Save All Discard Changes

Institution Name ?

+ VIEW
- HIDE

Institution Contact Information ?

* Notice of Award Email:

* Announcements and Notifications Email:

* Closeout Correspondence Email:

* Contact Name:

* Contact Phone:

* Contact Email:

*** Required Field(s)**
NIH will use this address to send all notices when a grant is awarded.
NIH will use this address for grant reminders, system notifications, and other messages.
NIH will use this email address to send any Closeout related communications.
NIH will use this name as the primary contact for this institution.

About the Institution ?

+ VIEW

Indirect Cost Negotiations ?

+ VIEW

Institution Address ?

+ VIEW

Extramural Technology Transfer Administration ?

+ VIEW

+ View All Save All Discard Changes

If you wish to discard your changes, select the **Discard Changes** button, then select **Yes** from the confirmation pop-up message. Keep in mind that any information you've added since the last time you hit **Save All** will be discarded when you hit the **Discard Changes** button!

Refer to the help topics for each individual profile component to see what fields are available for editing.

10.3 Institution Basic Information

As its name implies, the **Institution Basic Information** page of the *Institution Profile* provides a means for viewing and managing fundamental information about the institution such as name, contact persons, etc. This information is divided into expandable and collapsible sections, or tiles.

The screenshot shows the eRA Commons interface. At the top, there's a header with the U.S. Department of Health & Human Services logo, the eRA Commons logo, and the NIH logo. Below the header is a navigation bar with links: Home, Admin, Institution Profile, Personal Profile, Status, RPPR, xTrain, Admin Supp, eRA Partners. The 'Institution Profile' tab is selected. Below the navigation bar, there's a sub-navigation bar with 'Basic Information' and 'Assurances and Certifications'. The main content area is titled 'Institution Basic Information' and features a sidebar on the left with a yellow box for 'Institution Profile for UNIVERSITY OF LITERATURE' and an 'IPF Code: 1234567'. The sidebar also lists 'Basic Information' and 'Assurances & Certifications' as active sections. Below this, it shows 'Accounts: 3534 Affiliated Accounts', 'Profile updated: 06/11/2014', and 'ORI Certification Expires: 04/30/2015'. The main content area lists several sections: 'Institution Name', 'Institution Contact Information', 'About the Institution', 'Indirect Cost Negotiations', 'Signing Officials and TTO Administrators', 'Institution Address', and 'Extramural Technology Transfer Administration'. Each section has an 'EDIT' and 'VIEW' button. A '+ View All' button is at the bottom right.

The **Institution Basic Information** component of the *Institution Profile* is viewable by selecting the **Basic Information** link from the dashboard or the **Basic Information** tab from the Commons menu structure. For most users, the information is read-only, however, if you hold a Commons SO role, you have the ability to edit the information. Regardless of your role, the default view of the **Institution Basic Information** is read-only.

Each component contains certain required information. If any of this information is missing from a section, a message displays across the top of the screen, the **Basic Information** link in the dashboard displays in red font, and the header of the component in error displays in red.

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eRA Commons
A program of the National Institutes of Health

NIH National Institutes of Health
Office of Extramural Research
COMMONS|DEWEY | Dewey Decimal

Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
06/11/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Basic Information ?

The DUNS ID is too long: it cannot be longer than 9 characters.

+ View All

| | |
|---|-----------|
| Institution Name ? | EDIT VIEW |
| Institution Contact Information ? | EDIT VIEW |
| About the Institution ? | EDIT VIEW |
| Indirect Cost Negotiations ? | EDIT VIEW |
| Signing Officials and TTO Administrators ? | EDIT VIEW |
| Institution Address ? | EDIT VIEW |
| Extramural Technology Transfer Administration ? | EDIT VIEW |

+ View All

Additionally, within the component itself, another error message (red text) displays the error at the field level.

About the Institution ?

EDIT HIDE

| | |
|----------------------------------|---|
| Primary DUNS: | 123456789 |
| Secondary DUNS: | <p>The DUNS ID is too long: it cannot be longer than 9 characters.</p> 45678910112 123456111 123456222 123456333 |
| Federal-Wide Assurance Numbers: | FWA00001234 FWA00005678 |
| Animal Welfare Assurance Number: | D15-00123 (A1234-01) |
| Organization Type: | Institution of higher education |
| Ownership Control: | State Government |

You can expand the component tiles partially for viewing (read-only) or entirely for editing. Tiles can be expanded:

- By clicking on the heading of an individual component
- By selecting the **View All** button to expand all components
- By selecting the **View** button in a specific header to expand that individual component
- By selecting the **Edit** button to update the component (SO role only)



IMPORTANT: Only those users holding an SO role can perform the edit function.

Refer to the specific related topic listed below for information on that individual component of the profile.

NOTE: To the left of the **Institution Basic Information**, you find the Institution Profile dashboard. This dashboard provides quick access information to items such as number of accounts, last updated date, status of required fields, etc. The dashboard is discussed in greater detail inside the topic titled [Navigating the Institution Profile on Page 79](#).

10.3.1 Institution Name

The **Institution Name** component of the *Institution Profile* allows you to view your organization's **Profile Name** and **Commons Preferred Name**. The profile name is the NIH designated name of the institution. The preferred name is a name specified by the institution for use in Commons.

If you hold the SO role within your organization, you can edit the **Commons Preferred Name**.

10.3.1.1 Viewing Institution Name

Anyone with access to the Institution Profile can view the information in the **Institution Name** component of the profile in one of the following ways:

- Clicking the component tile header
- Selecting the **View** button from the **Institution Name** component tile header

The information displays as read-only:

- **Profile Name**
- **Commons Preferred Name** (if existing)

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eRA Commons
A program of the National Institutes of Health

NIH National Institutes of Health
Office of Extramural Research
COMMONSIDEWAY | Dewey Decimal

Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts
Profile updated:
06/11/2014
ORI Certification Expires:
04/30/2015

Institution Basic Information ⓘ

Institution Name ⓘ

Profile Name: UNIVERSITY OF LITERATURE
Commons Preferred Name:

Institution Contact Information ⓘ

About the Institution ⓘ

10.3.1.2 Editing Institution Name

If you hold the SO role within an organization, you can edit its **Commons Preferred Name** in the Institution Profile.

Select the **Edit** button on the **Institution Name** panel header to display the **Commons Preferred Name** field for editing and as necessary. The **Preferred Name** is not a required field.

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Home | Admin | **Institution Profile** | Personal Profile | Status | RPPR | xTrain | Admin Supp | eRA Partners

Basic Information | Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts
Profile updated:
06/11/2014
ORI Certification Expires:
04/30/2015

Institution Basic Information ⓘ

Institution Name ⓘ

Profile Name: UNIVERSITY OF COLORADO DENVER
Commons Preferred Name:

Institution Contact Information ⓘ

About the Institution ⓘ

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the

View buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.2 Institution Contact Information

The **Institution Contact Information** component of the *Institution Profile* allows you to view your organization's contact information, such as name, phone number, and email address.

10.3.2.1 Viewing Institution Contact Information

You can view the information in the **Institution Contact Information** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Institution Contact Information** component tile header

The information displays as read-only:

- **Notice of Award Email**
- **Announcements and Notifications Email**
- **Closeout Correspondence EMail**
- **Contact Name**
- **Contact Phone**
- **Contact Email**

U.S. Department of Health & Human Services

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Office of Extramural Research
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Home Admin Institution Profile Personal Profile Status RPPR FFR/FSR xTrain Admin Supp eRA Partners

Basic Information Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/08/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Institution Basic Information ?

+ View All

Institution Name ?

EDIT VIEW

Institution Contact Information ?

EDIT HIDE

| | | |
|--|------------------------------------|--|
| Notice of Award Email: | ContactSO@universitymail.edu | NIH will use this address to send all notices when a grant is awarded. |
| Announcements and Notifications Email: | ContactSO@universitymail.e | NIH will use this address for grant reminders, system notifications, and other messages. |
| Closeout Correspondence Email: | SampleCloseoutEmail@university.edu | NIH will use this email address to send any Closeout related communications. |
| Contact Name: | Dewey Decimal | NIH will use this name as the primary contact for this institution. |
| Contact Phone: | 2015551212 | |
| Contact Email: | DDDecimal@universitymail | |

About the Institution ?

10.3.2.2 Editing Institution Contact Information

If you hold the SO role within an organization, you can edit the information in the **Institution Contact Information** component of the Institution Profile.

Select the **Edit** button on the **Institution Contact Information** panel header to display all editable fields available in this component. The following fields are available for editing and are required fields:

U.S. Department of Health & Human Services

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NIH National Institutes of Health
Office of Extramural Research
COMMONS\DEWEY | Dewey Decimal

Home Admin Institution Profile Personal Profile Status RPPR FFR/FSR xTrain Admin Supp eRA Partners

Basic Information Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

Basic Information
Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/08/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours
via Web or voice mail will be returned the
next business day.

Institution Basic Information

+ View All Save All Discard Changes

Institution Name

+ VIEW

Institution Contact Information

- HIDE

* Required Field(s)

*Notice of Award Email:
NIH will use this address to send all notices when a grant is awarded.

*Announcements and Notifications Email:
NIH will use this address for grant reminders, system notifications, and other messages.

*Closeout Correspondence Email:
NIH will use this email address to send any Closeout related communications.

*Contact Name:
NIH will use this name as the primary contact for this institution.

*Contact Phone:

*Contact Email:

About the Institution

+ VIEW

Indirect Cost Negotiations

+ VIEW

- **Notice of Award Email**

NIH uses this email address to send all notices of award for a grant.

- **Announcements & Notifications Email**

NIH uses this email address to send grant reminders, system notifications, and other types of general correspondence.

- **Closeout Correspondence Email**

NIH uses this email address to send any Closeout related communications.

- **Contact Name**

NIH considers the person named here as the primary contact for this institution.

- **Contact Phone**

Enter the phone number for the contact person listed in Contact Name.

- **Contact Email**

Enter the email number for the contact person listed in Contact Name.

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.3 About the Institution

IMPORTANT: This topic is in the process of being revised. To read about changes to this screen, please refer to the [Commons Release Notes for the April 17, 2015 Quarterly Release](#).

The **About the Institution** component of the *Institution Profile* allows you to view information about your organization, such as DUNS and assurances numbers. If you hold the SO role within your organization, you can also edit this information.

10.3.3.1 Viewing About the Institution Information

You can view the information in the **About the Institution** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **About the Institution** component tile header

The information displays as read-only:

- **Primary DUNS**
- **Secondary DUNS**
- **Federal-Wide Assurance Numbers**
- **Animal Welfare Assurance Number**
- **Organization Type**
- **Ownership Control**

The screenshot shows the eRA Commons interface for an institution profile. The header includes the eRA Commons logo and NIH branding. The navigation bar contains links like Home, Admin, Institution Profile, Personal Profile, Status, RPPR, xTrain, Admin Supp, and eRA Partners. The left sidebar lists 'Basic Information' and 'Assurances and Certifications' as active tabs, along with account statistics and contact information for the eRA Commons Help Desk. The main content area is titled 'Institution Basic Information' and contains several sections: 'Institution Name', 'Institution Contact Information', 'About the Institution' (highlighted with a red box), 'Indirect Cost Negotiations', and 'Signing Officials and TTO Administrators'. The 'About the Institution' section displays fields for Primary DUNS, Secondary DUNS, Federal-Wide Assurance Numbers, Animal Welfare Assurance Number, Organization Type, and Ownership Control.

| Institution Basic Information | |
|--|---------------------------------|
| Institution Name | |
| Institution Contact Information | |
| About the Institution | |
| Primary DUNS: | 001234567 |
| Secondary DUNS: | |
| Federal-Wide Assurance Numbers: | FWA00000123 |
| Animal Welfare Assurance Number: | D15-00123 (A1234-01) |
| Organization Type: | Institution of higher education |
| Ownership Control: | State Government |
| Indirect Cost Negotiations | |
| Signing Officials and TTO Administrators | |

10.3.3.2 Editing About the Institution Information

If you hold the SO role within an organization, you can edit the fields in the **About the Institution** component of the Institution Profile.

U.S. Department of Health & Human Services

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NIH National Institutes of Health
Office of Extramural Research
COMMONSIDEWAY | Dewey Decimal

Home Admin **Institution Profile** Personal Profile Status RPPR xTrain Admin Supp eRA Partners

Basic Information Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/08/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours
via Web or voice mail will be returned the
next business day.

Institution Basic Information ?

+ View All Save All Discard Changes

Institution Name ? + VIEW

Institution Contact Information ? + VIEW

About the Institution ? - HIDE

Primary DUNS: 001234567

Secondary DUNS: Add

Federal-Wide Assurance Numbers: FWA00000123 Remove Add

Animal Welfare Assurance Number: D15-00123 (A1234-01)

Organization Type: Institution of higher education

Ownership Control: State Government

Indirect Cost Negotiations ? + VIEW

Select the **Edit** button on the **About Institution Information** panel header to display all editable fields available in this component. The following fields are available for editing, but are not required:

Secondary DUNS

The **Secondary DUNS** field allows SOs to edit, add, and remove additional DUNS numbers for the institution as necessary.

- To add a secondary DUNS number to the profile, select the **Add** button to display text fields. Enter the required 9 digits into the first text field and the optional 4 digits (for 13-digit DUNS only) into the second text field.

About the Institution ?

Primary DUNS: 001234567

Secondary DUNS: - **Remove**
Add

Federal-Wide Assurance Numbers: **Remove**
Add

Animal Welfare Assurance Number:

Organization Type: Institution of higher education

Ownership Control: State Government

- To edit a secondary DUNS number, simply update the value in the editable text fields.
- To remove a secondary DUNS, select the **Remove** button next to the appropriate DUNS number. At the confirmation, select **Yes** to complete the action.

About the Institution ?

Primary DUNS: 001234567

Secondary DUNS: - **Remove**
 - **Remove**

Federal-W

Confirmation needed x

Really remove this DUNS number (001234789)?

Yes **No**

Animal Welfare Assurance Number:

Organization Type: Institution of higher education

Ownership Control: State Government

Federal-Wide Assurance Numbers

The Federal-Wide Assurance (FWA) is the only type of new assurance of compliance accepted and approved by the Office of Human Research Protections (OHRP) for institutions engaged in non-exempt human subjects research conducted or supported by HHS.

The **Federal-Wide Assurance Numbers** field allows SOs to edit, add, and remove FWA numbers for the institution as necessary.

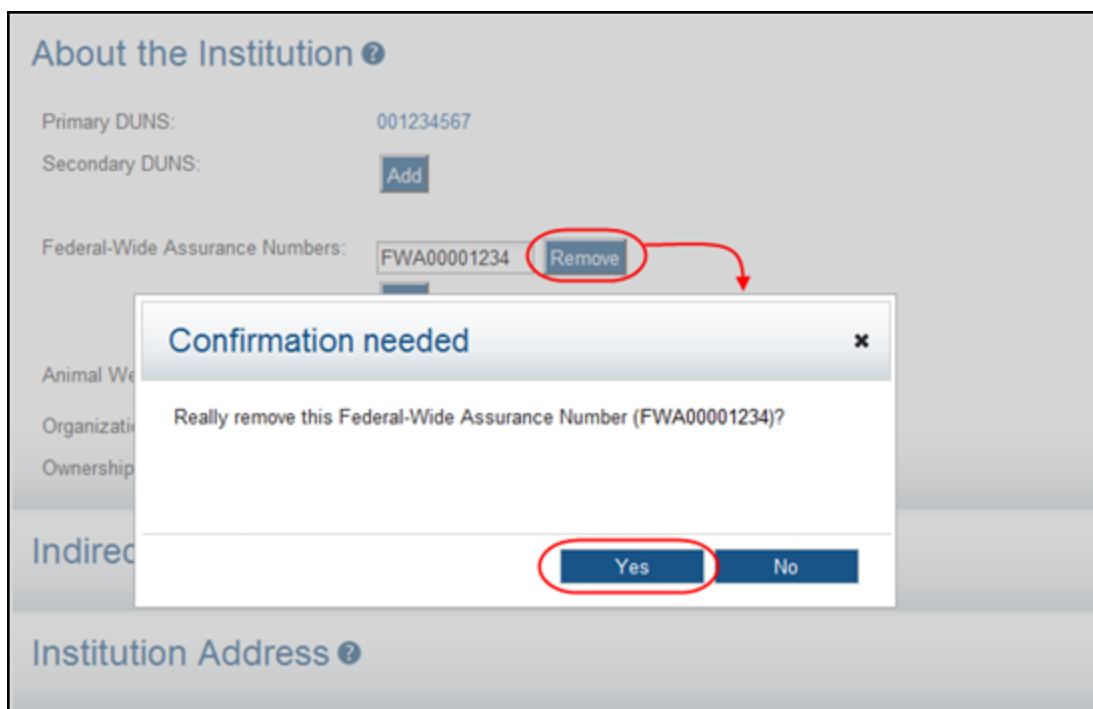
- To add an FWA number to the profile, select the **Add** button to display the editable text field. Enter the FWA number into this field.



The screenshot shows the 'About the Institution' form. The 'Federal-Wide Assurance Numbers' section contains a table with two rows. The first row has the value 'FWA00001234' and a 'Remove' button. The second row has an empty text field and a 'Remove' button. Below the empty text field is an 'Add' button, which is circled in red. A red arrow points from the 'Add' button to the empty text field. Other fields in the form include 'Primary DUNS' (001234567), 'Secondary DUNS' (Add button), 'Animal Welfare Assurance Number' (D15-00123 (A1234-01)), 'Organization Type' (Institution of higher education), and 'Ownership Control' (State Government).

| About the Institution ? | |
|----------------------------------|---|
| Primary DUNS: | 001234567 |
| Secondary DUNS: | Add |
| Federal-Wide Assurance Numbers: | |
| | <input type="text" value="FWA00001234"/> Remove |
| | <input type="text"/> Remove |
| | Add |
| Animal Welfare Assurance Number: | D15-00123 (A1234-01) |
| Organization Type: | Institution of higher education |
| Ownership Control: | State Government |

- To edit an FWA number, simply update the value in the editable text fields.
- To remove an FWA number, select the **Remove** button next to the appropriate number. At the confirmation, select **Yes** to complete the action.



Animal Welfare Assurance Number

The Animal Welfare Assurance is a document an institution and all performance sites involving animal research must have on file with the Office of Laboratory Animal Welfare (OLAW) before being awarded a grant or contract.

The **Animal Welfare Assurance Number** field displays the number passed to Commons from OLAW. If existing, numbers in parentheses () represents the old format number corresponding to the new format. This field is not editable.

NOTE: The **Primary DUNS**, **Organization Type**, and **Ownership Control** are read-only fields populated with organizational information on file. The **Primary DUNS** field reflects the primary DUNS number provided during the original institution registration. This number is not editable through Commons. To make changes to the primary DUNS, please contact the [eRA Service Desk](#) for assistance.

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.4 Indirect Cost Negotiations

The **indirect Cost Negotiations** component of the *Institution Profile* allows you to view your organization's Negotiator and Last Negotiation Date. If you hold the SO role within your organization, you can also edit this information.

10.3.4.1 Viewing Indirect Cost Negotiations

You can view the information in the **Indirect Cost Negotiations** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Indirect Cost Negotiations** component tile header

The information displays as read-only:

- **Negotiator Name**
- **Last Negotiation Date**

The screenshot displays the eRA Commons interface for the University of Literature. The main content area is titled 'Institution Basic Information' and includes sections for 'Institution Name', 'Institution Contact Information', 'About the Institution', and 'Indirect Cost Negotiations'. The 'Indirect Cost Negotiations' section is highlighted with a red box and shows the following information:

| Field | Value |
|-----------------------|-------------------|
| Negotiator Name | |
| Last Negotiation Date | November 16, 2011 |

The page also includes a sidebar with account information and a footer with contact details.

10.3.4.2 Editing Indirect Cost Negotiations

If you hold the SO role within an organization, you can edit the fields in the **Indirect Cost Negotiations** component of the Institution Profile.

The screenshot shows the eRA Commons interface. The top navigation bar includes links for Home, Admin, Institution Profile, Personal Profile, Status, RPPR, xTrain, Admin Supp, and eRA Partners. The left sidebar displays the institution's profile for the University of Literature, including its IPF Code (1234567), account information (3534 affiliated accounts), and contact details. The main content area is titled 'Institution Basic Information' and contains several expandable sections: Institution Name, Institution Contact Information, About the Institution, Indirect Cost Negotiations (highlighted with a red box), and Institution Address. The 'Indirect Cost Negotiations' section is currently collapsed, showing only the section header and a 'HIDE' button. To the right of the section header, there are two input fields: 'Negotiator Name' and 'Last Negotiation Date' (with a date format hint MM/DD/YYYY). A text box to the right of these fields explains the fields: 'The name of the agent who negotiated the most recent indirect cost agreement, and the date of that negotiation.' Above the section header, there are buttons for '+ View All', 'Save All', and 'Discard Changes'.

Select the **Edit** button on the **Indirect Cost Negotiations** panel header to display all editable fields available in this component. The following fields are available for editing, but are not required:

- **Negotiator Name**

Enter the name of the agent who negotiated the most recent indirect cost agreement.

- **Last Negotiation**

Enter the date of the most recent indirect cost agreement negotiation (format must be MM/DD/YYYY).

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.5 Signing Officials and TTO Administrators

The **Signing Officials and TTO Administrators** component of the *Institution Profile* allows you to view a list of all Commons system users in your organization who are assigned the SO and/or TTO Administrator roles.

You can view the information in the **Signing Officials and TTO Administrators** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Signing Officials and TTO Administrators** component tile header

The information for each person displays as read-only.

- **Name**
- **Phone Number**
- **Email Address**

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/09/2014

ORI Certification Expires:
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eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939
Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

About the Institution ⓘ EDIT VIEW

Indirect Cost Negotiations ⓘ EDIT VIEW

Signing Officials and TTO Administrators ⓘ HIDE

Jane Austen (SO)
201-555-0001
JAusten@universitymail.edu

Stephen Crane (SO)
201-555-0002
SCrane@universitymail.edu

Thomas Hardy
201-555-0003
THardy@universitymail.edu

James Joyce (SO)
phone unknown
JJoyce@universitymail.edu

Harper Lee (SO)
201-555-0005
HLee@universitymail.edu

Edgar A. Poe (EXTRAMURAL_TTO_ADMIN)
201-555-0006
EAPoe@universitymail.edu

William Shakespeare (SO)
201-555-0007
WShakes@universitymail.edu

Institution Address ⓘ EDIT VIEW

Extramural Technology Transfer Administration ⓘ EDIT VIEW

[+ View All](#)

10.3.6 Institution Address

The **Institution Address** component of the *Institution Profile* allows you to view address information for your organization including phone and fax numbers. If you hold the SO role within your organization, you can also edit this information.

10.3.6.1 Viewing Institution Address

You can view the information in the **Institution Address** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Institution Address** component tile header

The information displays as read-only:

- **Address**
- **Phone**
- **Fax**

U.S. Department of Health & Human Services

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NIH National Institutes of Health
Office of Extramural Research
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Home Admin **Institution Profile** Personal Profile Status RPPR xTrain Admin Supp eRA Partners

Basic Information Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/09/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours
via Web or voice mail will be returned the
next business day.

Institution Basic Information ?

+ View All

Institution Name ? EDIT VIEW

Institution Contact Information ? EDIT VIEW

About the Institution ? EDIT VIEW

Indirect Cost Negotiations ? EDIT VIEW

Signing Officials and TTO Administrators ? EDIT VIEW

Institution Address ? EDIT HIDE

Address: UNIVERSITY OF LITERATURE
GRANTS AND CONTRACTS
THISTOWN, NJ 07834
UNITED STATES

Phone: 2015551234

Fax: 2015554567

Extramural Technology Transfer Administration ? EDIT VIEW

10.3.6.2 Editing Institution Address

If you hold the SO role within an organization, you can edit the fields in the **Institution Address** component of the Institution Profile.

U.S. Department of Health & Human Services

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NIH National Institutes of Health
Office of Extramural Research
COMMONSIDEWAY | Dewey Decimal

Home Admin Institution Profile Personal Profile Status RPPR xTrain Admin Supp eRA Partners

Basic Information Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
06/11/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours
via Web or voice mail will be returned the
next business day.

Institution Basic Information

+ View All Save All Discard Changes

Institution Name + VIEW

Institution Contact Information + VIEW

About the Institution + VIEW

Indirect Cost Negotiations + VIEW

Institution Address - HIDE

* Required Field(s)

*Street Address: UNIVERSITY OF LITERATURE
GRANTS AND CONTRACTS

*City: THISTOWN

*Country: UNITED STATES

*State/Province: NEW JERSEY

*Zip/Postal Code: 07834

*Phone: 2015551234

Fax: 2015554567

Extramural Technology Transfer Administration + VIEW

Select the **Edit** button on the **Institution Address** panel header to display all editable fields available in this component. The following fields are available for editing:

- **Street Address**

Enter the street address for the organization. This is a required field.

- **City**

Enter the city for the address. This is a required field.

- **Country**

Select a country value from the drop-down box. This is a required field.

- **State**

Select a country value from the drop-down box. This is a required field.

- **Zip Code**

Enter the zip code for the address. This is a required field.

- **Phone**

Enter the phone number associated with the address above. This is a required field.

- **Fax**

Enter the fax number associated with the address above. This is an optional field.

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. You can edit other components of the profile before saving your changes by selecting the **View** buttons of those components. The **Save All** button will save the changes made in all components.

If you do not wish to save your changes, select the **Discard Changes** button instead.

Remember: Hiding a component is not the same as saving the component!

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.3.7 Extramural Technology Transfer Administration

The Extramural Technology Transfer Administration component of the Institution Profile allows users with access to the Institution Profile to view the contact and other relevant information for the technology transfer administration department of the institution.

This component of the profile is maintained by iEdison users holding Extramural TTO administrator role. An organization's Signing Official(s) may also edit this component.

For information on iEdison, please refer to the [iEdison pages](#) of the eRA website.

10.3.7.1 Viewing Extramural Technology Transfer Administration

You can view the information in the **Extramural Technology Transfer Administrations** component of the profile by:

- Clicking the component tile header
- Selecting the **View** button from the **Extramural Technology Transfer Administrations** component tile header

The information displays as read-only:

- **Address**
- **Contact Name**
- **Phone**
- **Email**
- **Are batch uploads allowed by this organization?**
- **The month that begins the utilization period**
- **Are the inventions submitted by the organization assigned for administration and reporting by the user?**

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
07/09/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDIT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

About the Institution EDIT VIEW

Indirect Cost Negotiations EDIT VIEW

Signing Officials and TTO Administrators EDIT VIEW

Institution Address EDIT VIEW

Extramural Technology Transfer Administration EDIT HIDE

Address: 123 Main Street
University Plaza
Thistown, NEW JERSEY 07834
UNITED STATES

Contact Name: Albert Einstein

Phone: 2015551234

Email: greatideas@universitymail.edu

Are batch uploads allowed by this organization? No

The month that begins the utilization period: August

Are the inventions submitted by the organization assigned for administration and reporting by the user? Yes

[+ View All](#)

10.3.7.2 Editing Extramural Technology Transfer Administration

If you hold the TTO_Admin or SO role within an organization, you can edit the fields in the **Extramural Technology Transfer Administration** component of the Institution Profile.

U.S. Department of Health & Human Services

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eRA Commons
A program of the National Institutes of Health

NIH National Institutes of Health
Office of Extramural Research
COMMONSIDEWAY | Dewey Decimal

Home Admin Institution Profile Personal Profile Status RPPR xTrain Admin Supp eRA Partners

Basic Information Assurances and Certifications

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

✓ Basic Information
✓ Assurances & Certifications

Accounts:
3534 Affiliated Accounts

Profile updated:
06/11/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institution Basic Information ⓘ

+ View All Save All Discard Changes

Institution Name ⓘ + VIEW

Institution Contact Information ⓘ + VIEW

About the Institution ⓘ + VIEW

Indirect Cost Negotiations ⓘ + VIEW

Institution Address ⓘ + VIEW

Extramural Technology Transfer Administration ⓘ

* Required Field(s) - HIDE

Street Address:

City:

Country:

State/Province:

Zip/Postal Code:

Contact Name:

Phone:

Email:

Are batch uploads allowed by this organization? No

The month that begins the utilization period:

Are the inventions submitted by the organization assigned for administration and reporting by the user? No

+ View All Save All Discard Changes

Select the **Edit** button on the **Extramural Technology Transfer Administrations** tile header to display all editable fields available in this component. The following fields are available for editing:

- **Street Address**
- **City**
- **Country**
- **State/Province**
- **Zip/Postal Code**
- **Contact Name**
- **Phone**

- **Email**
- **Are batch uploads allowed by this organization?**

Select a value from the drop-down list: Yes or No.

- **The month that begins the utilization period**

Select a value from the drop-down list.

- **Are the inventions submitted by the organization assigned for administration and reporting by the user?**

Select a value from the drop-down list: Yes or No.

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

10.4 Institutional Assurances and Certifications

The **Institutional Assurances and Certifications** component of the *Institution Profile* contains data elements that compose assurance/certification information about an institution (e.g., Human Subjects Assurance Number, Institutional Review Board [IRB] Approval Date, IRB Type, Animal Welfare Assurance Number, and Institutional Animal Care & Use Committee [IACUC] Unacknowledged Certification Explanation). The screen provides a means of viewing and managing the checklist of these assurances and certifications.

The screenshot shows the eRA Commons interface. At the top, there's a header with the U.S. Department of Health & Human Services logo and the eRA Commons logo. Below the header is a navigation bar with links: Home, Admin, Institution Profile, Personal Profile, Status, RPPR, xTrain, Admin Supp, eRA Partners. The main content area is titled "Institutional Assurances and Certifications" and includes a sidebar with "Basic Information" and "Assurances and Certifications" tabs. The "Assurances and Certifications" tab is active, showing the "Status" section with "Assurance OK" and an expiration date of 04/30/2015. Below this is the "Assurances and Certifications" section, which lists various policies with checkboxes indicating compliance status.

| Policy | Expiration Date | Status |
|-------------------------------------|-----------------|-------------------------------------|
| Age Discrimination Assurance | 12/09/2005 | <input checked="" type="checkbox"/> |
| Civil Rights Assurance | 12/09/2005 | <input checked="" type="checkbox"/> |
| Handicapped Individuals Assurance | 12/09/2005 | <input checked="" type="checkbox"/> |
| Inclusion of Children Policy | 12/09/2005 | <input checked="" type="checkbox"/> |
| Sex Discrimination Assurance | 12/09/2005 | <input checked="" type="checkbox"/> |
| Women and Minority Inclusion Policy | 12/09/2005 | <input checked="" type="checkbox"/> |

This component of the *Institution Profile* is viewable by selecting the **Assurances & Certifications** link on the dashboard or the **Assurances and Certifications** tab from the Commons menu structure. For most users, the information is read-only, however, if you hold a Commons SO role, you have the ability to edit the information. Regardless of your role, the default view of the **Institutional Assurances and Certifications** is read-only.

There are two main sections of the screen, which are described below: **Status** and **Assurances and Certifications**.

Status

The **Status** section of the screen displays the Office of Research and Integrity Certification Status for the institution. The values for this field are either *Assurance OK* or *Expired*. The expired status will display in red text as a warning.

The expiration date of the certification displays below the status, in red text if already expired.

Assurances and Certifications

The **Assurances and Certification** section provides a means for institutions to indicate (or view the indication of) compliance with particular laws, policies, and/or regulations as well as to indicate that it meets certain research requirements.

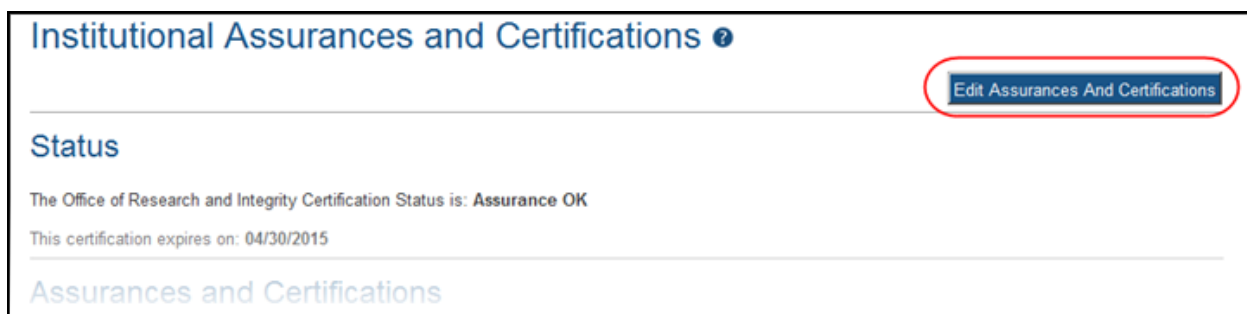
The list is available for viewing by anyone who has access to the Institution Profile. Read-only check marks display next to each assurance or certification in the list along with the date on which the institution indicated compliance.

Policy: Not all assurances and certifications may be applicable to each institution. For a complete definition of each assurance, please refer to [Part III \(Policies, Assurances, Definitions and Other Information\) of the SF424 \(R&R\) Application Guide](#).

10.4.0.1 Editing the Assurances and Certifications

If you hold the SO role within an organization, you can edit the assurance and certification indicators in the Institution Profile.

To edit the indicators, select the **Edit Assurances and Certifications** button at the top of the screen.



The assurance and certification indicators display over several categories.

This institution complies with all laws, policies and regulations prohibiting discrimination based on:

- Age Discrimination Assurance
- Civil Rights Assurance
- Handicapped Individuals Assurance
- Inclusion of Children Policy
- Sex Discrimination Assurance
- Women and Minority Inclusion Policy

This institution complies with all laws and regulations regarding:

- ClinicalTrials.gov Requirement
- Conflict of Interest Assurance
- Delinquent Debt Assurance
- Drugfree Workplace Assurance
- Impact of Grant Activities on the Environment and Historic Properties
- Institutional Debarment Assurance

- Lobbying Assurance
- Smoke-Free Workplace

Research at this institution meets all requirements for:

- Graduate Student Training for Doctoral Degrees (D43, TU2, T15, T32, T37, T90, U2R, U90, and U54/TL1 only)
- Human Subjects
- PI Assurance
- Prohibited Research
- Recombinant DNA and Human Gene Transfer
- Research Misconduct
- Research With Human Embryonic Stem Cells
- Select Agent Research
- Transplantation of Human Fetal Tissue
- Vertebrate Animals

Check or uncheck the certification and/or assurance indicator(s) as appropriate. You can also select the **(explain your answer)** link to access a text box in which you can provide additional information.

When you are done, select the **Save All** button at the top or bottom of the profile to save the changes. If you do not wish to save your changes, select the **Discard Changes** button instead.

U.S. Department of Health & Human Services

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eRA Commons
A program of the National Institutes of Health

NIH National Institutes of Health
Office of Extramural Research
COMMONSIDEWAY | Dewey Decimal

Home Admin **Institution Profile** Personal Profile Status RPPR xTrain Admin Supp eRA Partners

Basic Information **Assurances and Certifications**

Institution Profile for
UNIVERSITY OF LITERATURE
IPF Code: 1234567

☒ Basic Information
☒ **Assurances & Certifications**

Accounts:
3534 Affiliated Accounts

Profile updated:
07/09/2014

ORI Certification Expires:
04/30/2015

eRA Commons Help Desk
Hours: Mon-Fri, 7AM-8PM EDT/EST
Web: <http://era.nih.gov/help/>
Toll-free: 866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Institutional Assurances and Certifications ?

Save All **Discard Changes**

Status

The Office of Research and Integrity Certification Status is: **Assurance OK**

This certification expires on: **04/30/2015**

Assurances and Certifications

This institution complies with all laws, policies and regulations prohibiting discrimination based on:

| | | |
|------------|---|---------------------------------------|
| 12/09/2005 | <input checked="" type="checkbox"/> Age Discrimination Assurance | (explain your answer) |
| 12/09/2005 | <input checked="" type="checkbox"/> Civil Rights Assurance | (explain your answer) |
| 12/09/2005 | <input checked="" type="checkbox"/> Handicapped Individuals Assurance | (explain your answer) |
| 12/09/2005 | <input checked="" type="checkbox"/> Inclusion of Children Policy | (explain your answer) |
| 12/09/2005 | <input checked="" type="checkbox"/> Sex Discrimination Assurance | (explain your answer) |
| 12/09/2005 | <input checked="" type="checkbox"/> Women and Minority Inclusion Policy | (explain your answer) |

This institution complies with all laws and regulations regarding:

| | | |
|------------|--|---------------------------------------|
| 10/09/2008 | <input checked="" type="checkbox"/> ClinicalTrials.gov Requirement | (explain your answer) |
| 12/09/2005 | <input checked="" type="checkbox"/> Conflict of Interest Assurance | (explain your answer) |

IMPORTANT: Only Commons users with the SO role can edit the Institution Profile. An exception exists for institutions having a TTO Administrator and no Signing Official. For these institutions, the TTO Administrator can edit all sections of the profile.

For institutions with both a Signing Official and TTO Administrator, the TTO Administrator can only edit the Extramural Technology Transfer Administration component.

11 Personal Profile Module

The Personal Profile module in Commons is the central repository of information for all Commons registered users. It is designed so that individual eRA system users hold and maintain ownership over the accuracy of their own profile information. This profile information is then integrated throughout eRA's systems and used for a variety of agency business such as peer review, application data, and trainee data.

NOTE: You can delegate the authority to maintain your profile to other users within your institution.

The personal profile is divided into sections of information and includes:

- **Name and ID:** Personal information such as name, contact information, date of birth
- **Demographics:** Race, ethnicity, gender
- **Employment:** Current employment and past employment history
- **Reviewer Information:** Reviewer work address for those users performing tasks in IAR as a Reviewer
- **Trainee Information:** Trainee permanent address for those with Trainee roles using the xTrain module
- **Education:** Degree and Post-Graduate Clinical Training Information
- **Reference Letters:** Letters of reference submitted to NIH
- **Publications:** Access to MY NCBI, at which publications can be viewed

NOTE: Depending on your Commons role, you might not have access to all sections of the Personal Profile.

For more information, refer to the Commons Personal Profile Online Help System (<https://era.nih.gov/erahelp/ppf/>) or the *eRA Commons Personal Profile Module User Guide* (https://era.nih.gov/files/personal_profile_userguide.pdf).

12 Status Module

The Status screens allow PD/PIs, their delegates, and SOs to perform the following tasks securely:

- Track the status of a grant applications through the submission process
- View all their applications as well as NoAs and other key documents
- Complete several post-submission and post-award transactions

What you can see and do in the Status module depends on the role associated with your Commons account. For this reason, the query and results screens in the Status module behave differently per user role. Help topics for the Status module are available for both SO and PI users.

[Refer to the section of this document titled *Steps for AOR/SO to Check Submission Status* on Page 114 if you have an SO or AO role.](#)



[Refer to the section of this document titled *Status for Program Directors/Principal Investigators \(PI Role\)* on Page 128 if you have a PI role.](#)

12.1 Steps for AOR/SO to Check Submission Status

Utilizing eRA Commons, all Signing Officials are able to check the status of the applications that have been submitted for their organization.

Steps:

1. **Login to eRA Commons** with your Signing Official (SO) account username and password.
2. **Click the “Status” tab and select the "Recent/Pending eSubmissions"** search option in the left hand navigation.
3. **Enter desired search criteria** and hit the **"Search"** button. The search criteria options are;
 - Accession Number
 - Grants.gov Tracking #
 - eSubmission Status (Select from drop-down)
 - All
 - Pending Verification
 - Rejected
 - Received Date
 - You can enter a range of dates for the received date using the “From” and “To” fields. Either enter the date(s) manually in the MM/DD/YYYY format or by selecting the calendar icon to search and select a date from the calendar.**Click to view the search screen...**

| | | |
|------------------------------------|--|--|
| Status | Recent/Pending eSubmissions ? | |
| General Search | Accession Number | Accession Number |
| Just In Time | Grants.gov Tracking # | Tracking # |
| Pending Progress Report | eSubmission Status | All ▼ |
| Recently Awarded | Received Date: | |
| Recent/Pending eSubmissions | From | 03/12/2016  |
| Closeout | To | 06/10/2016  |
| | <input type="button" value="Search"/> <input type="button" value="Clear"/> | |

4. The corresponding search results include all appropriate links for the applications. These are the same links that appear in the Status Result - General Search results. [Refer to the help topic titled Status Result - General Search](#) for information on search results.

For the purposes of eSubmission tracking, perform the following from the search results:

- Check the “eSubmission Status” column to determine if your application status is “eSubmission Error” or “Pending Verification”.
- If the status is "eSubmission Error", you have two options to view the errors or warnings.
 - select the **Show Prior Errors** link from the **Show All Prior Errors**
 - Select the **Application ID** displayed as link to open *Status Information*. Any existing submission errors or warnings display at the top of *Status Information*. [Refer to the section of this document titled Status Information on Page 138](#) for more information on this screen.
- Select Reject eApplication to reject the eSubmission of an application. [Refer to the help topic titled Rejecting the eApplication](#).

12.2 How does an SO track submission status?

All Signing Officials are able to verify the status of the applications that have been submitted for their organization utilizing eRA Commons.

Steps:

1. Log in to [eRA Commons](#) with your Signing Official (SO) account username and password.
 - a. Click the “Status” tab and select the "Recent/Pending eSubmissions" search option in the left hand navigation menu. (image)

- b. On the next screen, enter desired search criteria and click the "Search" button. Search criteria options;
 - Accession Number: *A unique value assigned to applications before an NIH grant number is assigned.*
 - Grants.gov Tracking # *A value is assigned by Grants.gov when the application is electronically submitted.*
 - eSubmission Status (*All, Pending Verification, or Rejected*)
 - Received Date Enter a range of dates for the received date using the “From” and “To” fields.
Either enter the date(s) manually in the MM/DD/YYYY format or by selecting the calendar icon

| Status | Recent/Pending eSubmissions ? | |
|-----------------------------|-------------------------------|------------------|
| General Search | Accession Number | Accession Number |
| Just In Time | Grants.gov Tracking # | Tracking # |
| Pending Progress Report | eSubmission Status | All |
| Recently Awarded | Received Date: | |
| Recent/Pending eSubmissions | From 03/12/2016 | |
| Closeout | To 06/10/2016 | |
| | Search | Clear |

NOTE: The corresponding search results include all appropriate links for the applications. These are the same links that appear in the [Status Results - General Search](#) results.

For the purposes of eSubmission tracking, perform the following from the search results:

1. Check the **eSubmission Status** column to determine if your application status is “eSubmission Error” or “Pending Verification”.
2. Use one of the two following methods to view the error messages and warnings. (view example).

Example of Recent/Pending search (SO view)

Showing 11 - 20 of total 20

Filter:

Show 10 per page

| Application ID | Grants.gov Tracking # | eSubmission Status | Proposal Title | PD/PI Name | eSubmission Status Date | Show All Prior Errors | Action |
|----------------|-----------------------|--------------------|---|--------------|-------------------------|--------------------------------|--------|
| AN:7654321 | INT11122233P | eSubmission Error | Txt2stop4baby: An RCT to reduce smoking and improve mother child health | Phnerl, Olga | 10/13/2011 15:04:35 | Show Prior Errors and Warnings | |

NOTE: Errors *will* stop the submission process and need to be addressed via a [change/corrected application](#). Warnings will not stop the process but it is still critical to check the warning messages to ensure that any referenced issue does not apply to your application.

- **Method 1:** Select the **Show Prior Errors and Warnings** link from the **Show All Prior Errors** column.

- **Method 2:** If the status is "Pending Verification", select the Accession Number (AN:#####) displayed in the **Application ID** column to open the *Status Information*. Submission errors or warnings are displayed at the top of the *Status Information* page during the two day review period before the submission deadline. Refer to the section of this document titled *Status Information on Page 138* for more information on this screen.
3. If warranted, select **Reject eApplication** in the **Action** column to reject the eSubmission of the application. Refer to the help topic titled *Rejecting the eApplication*.

12.3 How Does an SO Reject the eApplication?


When warranted, an SOs can request to reject the eSubmission of an application using the **Reject eApplication** screen. Only Signing Officials have this option, and the application must not have been previously verified or rejected by the SO.

To reject an eApplication:

1. Log in to [eRA Commons](#) with your Signing Official (SO) user ID and password.
2. Select **Status** from the menu bar and then select the *Recent/Pending eSubmissions* (or General Search) option to locate the application being rejected.
3. From the search result screen, select the **Reject eApplication** link in the **Action** column.

| PD/PI Name | eSubmission Status Date | Prior Errors | Action |
|-------------------|----------------------------|--------------------------------------|--|
| FRECHMAN, PETER A | 06/15/2016 09:10:04 | Show Prior Errors and Warnings | Transmittal Sheet Reject eApplication |

The **Reject eApplication** screen displays.



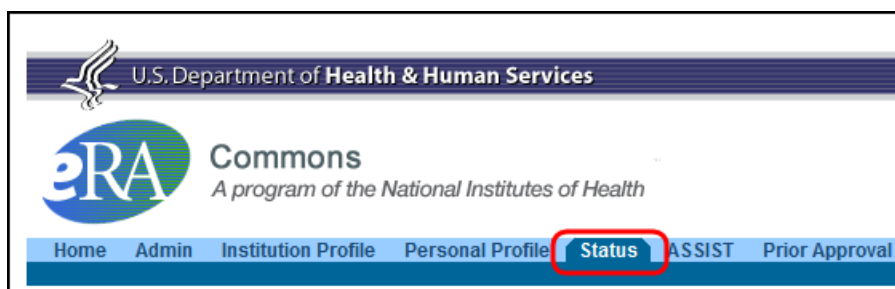
4. Enter the required comment in the provided text box. This message will be part of the rejection email notification.
5. Select the **Reject** button (select **Cancel** if you need to cancel the action). The contact PI will receive an email notification that the SO has rejected the application.

12.4 Steps for SO to Re-assign a Grant

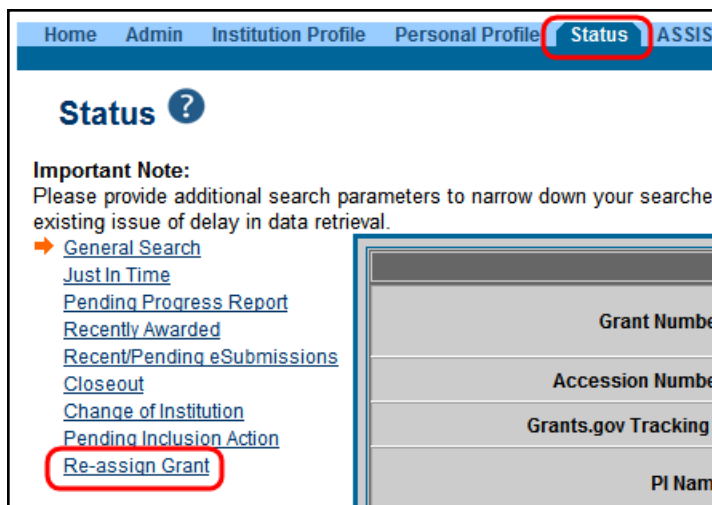
Signing Officials may use the "Reassign Grant" option from the **Status** menu in eRA Commons to change the assignment of a grant from one existing department or component to another existing department or component within their institution.

NOTE: This functionality is only available to Signing Officials from grantee organizations that are classified as *Institutions of Higher Education*. This tool cannot be used to create new departments or components.

To re-assign one or more grants, log into eRA Commons with an account that has the SO (Signing Official) role and select the **Status** option from the menu bar.



This will display the Status menu on the left. Select the "Re-assign Grant" option from the list.



- **STEP 1:** Selecting "Re-assign Grant" from the menu will open a search window. In this window, provide the search criteria for the grant or grants in question. The search can be done on any combination of; all or part of a grant number; Contact PI name; or major Department/Component. Once the search criteria has been entered, click on **Search**.

The search results will be displayed. You have options on this screen to select the grants that are to be moved as well as to change how many results are displayed per screen. Clicking on the box above the list to the left will select all of the grants visible. You may also select a smaller subset of grants or just one.

Once you have made your selections, click on Next.

NOTE: You can move all of the grants visible on a page at one time however you will not be able to combine results on other pages into the current re-assignment step. Another reassignment procedure will need to be performed in order to move grants on other pages.

Re-assign Grant

Step 1: Search and choose grants

You have selected 3 grant(s) for re-assignment

General Search
Just In Time
Pending Progress Report
Recently Awarded
Recent/Pending eSubmissions
Closeout
Change of Institution
Pending Inclusion Action
Re-assign Grant

Grant # Type Act IC Serial # Year

Contact PI Last Name
Last Name

School
SCHOOL OF MEDICINE AND HEALTH SCIENCES

Show 10 entries

| | Grant # | Project Title | Contact PD/PI Name | School Name | Department |
|-------------------------------------|----------------|--------------------------------|--------------------|--------------------|-----------------------------|
| <input type="checkbox"/> | R01DE88888-12 | TRPC1, Calcium, and Saliva | Hayes, Jade | SCHOOL OF MEDICINE | BIOCHEMISTRY AND MOLECULAR |
| <input type="checkbox"/> | R01DE88888-11 | TRPC1, Calcium, and Saliva | Hayes, Jade | SCHOOL OF MEDICINE | BIOCHEMISTRY AND MOLECULAR |
| <input checked="" type="checkbox"/> | R21DE77777-02 | Galectins as novel alarmins in | MARTINEZ, CARMEN | SCHOOL OF MEDICINE | MICROBIOLOGY AND IMMUNOLOG |
| <input checked="" type="checkbox"/> | P20GM66666-04 | Center for Biomedical Resear | Freeman, Derrick | SCHOOL OF MEDICINE | PHARMACOLOGY, PHYSIOLOGY, A |
| <input type="checkbox"/> | R01ES99999-06 | Environmental toxins and stei | Mitchell, Dylan | SCHOOL OF MEDICINE | BIOCHEMISTRY AND MOLECULAR |
| <input checked="" type="checkbox"/> | R01AI00000-02 | Lung innate immunity against | SONG, EMILY | SCHOOL OF MEDICINE | BIOCHEMISTRY AND MOLECULAR |
| <input type="checkbox"/> | R01DK66666-03 | Schlafen mediation of intestin | BRONSON, KEMBER | SCHOOL OF MEDICINE | NONE |
| <input type="checkbox"/> | P20GM987654-15 | North Dakota INBRE Health a | Fuller, Kayla | SCHOOL OF MEDICINE | PATHOLOGY |
| <input type="checkbox"/> | R01MH44444-04 | The role of novel endolysoso | Kendrick, Alex | SCHOOL OF MEDICINE | PHARMACOLOGY, PHYSIOLOGY, A |
| <input type="checkbox"/> | P30GM33333-03 | COBRE Center for Neurodeg | Kendrick, Alex | SCHOOL OF MEDICINE | PHARMACOLOGY, PHYSIOLOGY, A |

Showing 1 to 10 of 33 entries

Previous 1 2 3 4 Next

Next

- **STEP 2:** The next step is to select the School and Department to which the selected grants should be moved. Use the drop-down menus to make the selections (only existing schools and departments will be shown) and then click on **Next**.

Re-assign Grant ?

TEST TEST

Step 1: Search and choose grants You have selected 3 grant(s) for re-assignment

Step 2: Choose department You have selected SCHOOL OF MEDICINE AND HEALTH SCIENCES, PATHOLOGY

School
SCHOOL OF MEDICINE AND HEALTH SCIENCES

Department
PATHOLOGY

Next

STEP 3: The summary is shown next. This will indicate the number of grants being moved and to which destination. If the information is correct, click on Submit.

Re-assign Grant ?

TEST TEST

Step 1: Search and choose grants You have selected 3 grant(s) for re-assignment

Step 2: Choose department You have selected SCHOOL OF MEDICINE AND HEALTH SCIENCES, PATHOLOGY

Step 3: Summary

Please verify the information and press the 'Submit' button to save.

Number of grants selected for re-assignment: 3 (Note: You can see the full list of grants in "Step 1".)

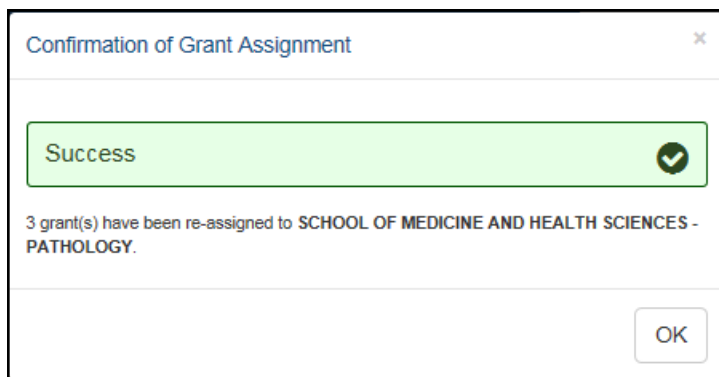
Grants will be re-assigned to:

School: SCHOOL OF MEDICINE AND HEALTH SCIENCES

Department: PATHOLOGY

Submit

You will receive a final confirmation of the reassignment.



- **Items Of Note:**

- Functionality is only available to Signing Officials from grantee organizations that are classified as Institutions of Higher Education.
- Assignments are immediate in Commons. The new assignment can be viewed on the Re-assign Grant search page.
- Assignments will be visible in [RePORTER](#) on the following Monday.
- Search criteria is limited to the current and future fiscal years, for awarded grants or pending type 5 grants.
- Grants on one page can be moved at one time, i.e. grants returned on multiple pages will require multiple moves.

12.5 Status Result - General Search

The *Status Result - General Search* screen provides matching records from searches performed by SOs using the General Search feature in the Status module. The information displays in tables and includes links to other Commons modules and/or features depending on the application.

NOTE: The *Status Result - General Search* screen differs from the results displayed for PI users. [Refer to the section of this document titled *Status for Program Directors/Principal Investigators \(PI Role\)* on Page 128](#) for more information.

The screen has a limit of 100 records per view, with additional records accessed via the page number links and/or navigation arrows at the top of the results table. The results can be sorted by selecting the up/down arrow displayed in the column heading. If the arrow exists in the heading, the information can be sorted by that category.

The figure below represents a sample of various action links that could be displayed and may not reflect realistic search results.

| Status Result - General Search | | | | | | | | |
|---|-----------------------|---|----------------------|-------------------------------|-------------------|-------|---------------------------------------|---|
| Tips and Notes: <ul style="list-style-type: none"> • PD/PI column shows Contact PI for multi-PI grants. | | | | | | | | |
| <div> <input checked="" type="checkbox"/> 1-100 of 1275 <div>1 2 3 4 5 6 7 8 9 10 11 12 13</div> </div> | | | | | | | | |
| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | Application Status | Budget Start Date | FFATA | Show All Prior Errors | Action |
| 1R01EY000001-01 | GRANT1000000P | My Groundbreaking, Life-saving, Medical Research Study | SAWYER, TOM | Withdrawn | 07/01/2012 | Yes | Show All Prior Errors | Transmittal Sheet |
| 3R01DK000004-01S1 | | Hypertensive kidney disease: A New Study | CAULFIELD, HOLDEN | Awarded, Non-fellowships only | 06/15/2012 | Yes | | Extension |
| 5R01GM000001-07 | | The Curious Case of Benjamin Button Syndrome | FITZGERALD, F SCOTT | Awarded, Non-fellowships only | 01/01/2013 | | | RPPR |
| 5R01EY000002-05 | | Study on Genetics and Age-Related Degeneration | FINCH, ATTICUS | Awarded, Non-fellowships only | 08/01/2012 | | | Extension Admin Supplements |
| 5R01GM000002-31 | | A Study in Scarlet Fever | DOYLE, ARTHUR C | Awarded, Non-fellowships only | 07/01/2012 | | | Closed |
| 5R01NS000001-13 | | Scientific Research Study that Will Change the World | FINN, HUCK | Awarded, Non-fellowships only | 09/01/2012 | | Show All Prior Errors | Requires Closeout Transmittal Sheet |
| 5R01EY000003-07 | | This is a Title of a Sample Grant Proposal and Project | TORRANCE, JACK | Awarded, Non-fellowships only | 09/01/2012 | | | |
| 5R01EY000004-03 (MPI) | | To Kill a Mockingbird with Contagious Diseases | LEE, HARPER | Awarded, Non-fellowships only | 09/01/2012 | | | Admin Supplements |
| 5R01EY000005-03 | | The Taming of the Flu | SHAKESPEARE, WILLIAM | Awarded, Non-fellowships only | 01/01/2013 | Yes | | |
| 1R01CA000001-01 (MPI) | GRANT10000002P | Portrait of the Artist as a Young Man through Adulthood | JOYCE, JAMES | Council review completed | 07/01/2012 | Yes | Show All Prior Errors | JIT Times Revised (1) Transmittal Sheet |
| 5R01FD000001-04 | | Pride and Prejudice and the Human Psyche | BENNET, LIZZIE | No IRG Recommendation | 08/01/2012 | | Show All Prior Errors | Transmittal Sheet |
| 5R01MH000001-23 | | Lord of the Flies and Other Disease Carrying Insects | GOLDING, WILLIAM | No IRG Recommendation | 12/01/2012 | | Show All Prior Errors | Transmittal Sheet |
| <div> Export to Excel Show Query Print Hitlist </div> | | | | | | | | |

The results include the following information:

- **Application ID**

The application ID is provided as a link, which when selected opens the *Status Information* screen. *Status Information* includes grant/application information such as status history, study section, contacts, etc. [Refer to the section of this document titled Status Information on Page 138](#) for more information.

If multiple PIs exist on the project, an *MPI* indicator appears next to the application ID.

- **Grants.gov Tracking #**

This column shows the number assigned when the application was submitted electronically to Grants.gov. This is a non-sortable field.

- **Proposal Title**

The project name submitted on the application is displayed in this column.

NOTE: In the **Proposal Title** field, *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

- **PD/PI Name**

This is the Contact PI on the application.

- **Application Status**

This column displays the status of the application. Status values include:

- *Awarded*
- *Pending*
- *Withdrawn*
- *Terminated*
- *Not Funded*
- *Returned*
- *Received*
- *eSubmission Error*

- **Budget Start Date**

- **FFATA**

This column indicates *Yes* if the application is eligible to report as a Federal Funding Accountability and Transparency Act (FFATA) application.

- **Show All Prior Errors**

This column displays the **Show All Prior Errors** link. Selecting this link opens the *Errors/Warnings for Prior Failed eSubmissions* screen, providing any errors or warnings received for the application during eSubmission.

- **Action** (links)

The links in this column are used to access other modules or features in Commons and vary depending on the application. Possible links are as follows:

- **RPPR**

Opens the *RPPR Menu* screen for editing or submitting an Research Performance Progress Report (RPPR). [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module* on Page 232.](#)

- **Public Access PRAM**

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting Public Access PRAM. [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module* on Page 232](#)

- **IC Requested PRAM**

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting IC Requested PRAM. [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module* on Page 232.](#)

- **Fellowship Face Page**

Displays for Fellowship Awards only

- **Progress Report Face Page**

Only for paper grants not SNAP eligible

- **JIT**

This link is displayed for applications eligible to submit Just In Time materials. Selecting the link opens the *Just In Time* screen. [Refer to the section of this document titled *Just in Time \(JIT\)* on Page 179.](#)

- **Extension**

This link opens the No-Cost Extension (NCE) feature. [Refer to the section of this document titled *No-Cost Extension \(NCE\)* on Page 187.](#)

- **Closed**

This link opens the *Closeout Status* screen, which provides information on a closed grant. [Refer to the section of this document titled *Closeout Status* on Page 156.](#)

- **Requires Closeout**

This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. [Refer to the section of this document titled *Closeout Status* on Page 156.](#)

- **Reject eApplication**

Available only to SO users, select this link to reject an electronically submitted application. If rejected, the status of the application is updated to *Refused*. [Refer to the help topic titled *Rejecting the eApplication*.](#)

- **Transmittal Sheet**

Opens the Transmittal Sheet on which is listed the institution name, proposal title, PI name, grant number, accession number, and proposal receipt date.

- **Administrative Supplement**

For grants having at least one administrative supplement request either in progress or submitted, but not reviewed. This link is used to view the status of the request.

- **Manage Relinquishing Statement**

Available to SOs and used to access the feature for initiating an electronic relinquishing statement

- **Relinquishing Statement**

Used to access the feature for editing and re-routing the electronic relinquishing statement

- **Sandy Quarterly Report**

For grants identified as NIH Hurricane Sandy Recovery awards. The link opens the *Sandy Quarterly Report* for editing, saving, and/or submission.

- **Inclusion**

Provides access to the Inclusion Management System (IMS) for viewing and managing inclusion enrollment data for off-cycle reporting, before the progress report is due. This link is available only for those grants requiring inclusion data. For more information about IMS via Status, refer to the separate [Inclusion Management System Online Help](#).

IMPORTANT: To submit inclusion enrollment data with a progress report, IMS must be accessed via the RPPR *Section G. Special Reporting Requirements* rather

than through the **Inclusion** link in the Status module. Refer to the [NIH and Other PHS Agency Research Performance Progress Report \(RPPR\) Instruction Guide](#) for more information.

12.6 Status for Program Directors/Principal Investigators (PI Role)

The Status module allows those with a PI role to review basic aspects of the status of applications sent to the NIH, including pending review, review outcome, pending Advisory Council action, and award status.

Refer to the section of this document titled *Steps for AOR/SO to Check Submission Status* on Page 114 if you hold an SO role.

Upon entering the Status module, a PI is taken to a landing page with three options:

- **Recent/Pending eSubmissions:** Select this option to view a list of recent or pending electronic submissions of grant applications.
- **List of Applications/Grants:** Select this option to view a list of applications/grants on which the PI user is the contact PI or one of multiple PIs (MPI)
- **Search by Grants.gov Tracking Num:** Use this field and the Search button to display information for a specific grant application by tracking number.

Status: PI Search

The following list of applications represents a result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** menu tab again

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Tracking Number

NOTE: A PI may grant a Commons user with the ASST role access to the Status module. ASST users granted this authority can view the status results as the PI would, however, the ASST user will not have access to the links found in the **Action** column. [Refer to the section of this document titled *Direct Delegations on Page 70*](#) for information on delegating Status.

12.6.1 Viewing Recent/Pending eSubmissions

Select the **Recent/Pending eSubmissions** option to display search results meeting the following criteria:

- Applications that require action prior to submission
- Applications available for viewing prior to submission (2 business day correction window)
- Applications that have been refused by the SO

Status: PI Search

The following list of applications represents a result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** menu tab again

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Tracking Number

The results display in the *Status - Recent/Pending eSubmissions* screen in a table format. If the number of records returned by the search exceeds the amount allowed on the screen, you can use the page number links and/or navigation arrows at the top of the results table to scroll to the remaining records.

« Return to PI Search

Status Result - Recent/Pending eSubmissions 16

The following list of applications represents the result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click Recent/Pending eSubmissions menu tab again.

| Grants.gov Tracking# | Application ID | eSubmission Status | Proposal Title | PD/PI Name | eSubmission Status Date | Show All Prior Errors |
|----------------------|----------------|--------------------|---|----------------------|-------------------------|--|
| GRANT00123456 | | eSubmission Error | The Taming of the Flu | SHAKESPEARE, WILLIAM | 06/16/2015 10:38:14 | Show Errors and Warnings |
| GRANT0012367 | | eSubmission Error | All's Well that Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | 06/17/2015 02:31:42 | Show Errors and Warnings |
| GRANT00123789 | | eSubmission Error | The Merry Hives of Windsor | SHAKESPEARE, WILLIAM | 06/17/2015 02:57:03 | Show Errors and Warnings |

The following information is included in the table:

Grants.gov Tracking

This column shows the number assigned when the application was submitted electronically to Grants.gov. This is a non-sortable field.

Application ID

The application ID is provided as a link, which when selected opens the *Status Information* screen. *Status Information* includes grant/application information such as status history, study section, contacts, etc. [Refer to the section of this document titled *Status Information on Page 138* for more information.](#)

eSubmission Status

This column shows the status of approval for the application.

Proposal Title

The project name submitted on the application is displayed in this column.

NOTE: In the **Proposal Title** field, *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status Date

This is the date of the latest status update.

Show All Prior Errors

This column displays the **Show All Prior Errors** link. Selecting this link opens the *Errors/Warnings for Prior Failed eSubmissions* screen, providing any errors or warnings received for the application during eSubmission.

Tip: Use the **Export** buttons –located at the top and bottom of the screen– to view the information in an Excel spreadsheet.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

12.6.2 Viewing the List of Applications/Grants

The *Status Result - List of Applications/Grants* screen provides a collected source of information pertaining to a PI's grants/applications. The screen allows PIs to view basic information for their grants; to review detailed information for their grants, including assignments, summary statements, notices of award; and to access other modules in Commons for completing tasks such as progress report, financial statement, etc.

To access the *Status Result - List of Applications/Grants* screen, click the **List of Applications/Grants** section of the screen.

Status: PI Search

The following list of applications represents a result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** menu tab again

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Tracking Number

The initial results display the applications collapsed into groups of grant families. From the initial display, you can see the application number (or *Application ID Not Yet Assigned* where applicable); the number of applications/grants within the family; the contact PD/PI; and the title.

Tip: To find the total number of your applications/grants, look for the number displayed next to the screen title.

To expand the field and display all grants/applications associated with a family, select the plus sign (+) for that particular grant family.

« Return to PI Search

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for scored applications. Please await instructions from the NIH on whether to complete this information

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

Status Result - List of Applications/Grants 87

[Export](#)

| | | | | | |
|---------------------------------|---|--|------------------------------|--|---|
| Application ID Not Yet Assigned | 2 | 01/01/2016 - 12/31/2017 (Project Period) | SHAKESPEARE, WILLIAM (PD/PI) | Measure for Measure & Other Scientific Methodologies (Title) | + |
| R21MH123456 | 2 | 06/01/2014 - 05/31/2016 (Project Period) | MARLOWE, CHRISTOPHER (PD/PI) | The Tragical History of the Life and Death of Doctor Faustus (Title) | + |
| U54MH123456 | 1 | 07/01/2010 - 06/30/2015 (Project Period) | SHAKESPEARE, WILLIAM (PD/PI) | Much Ado About Childhood Obesity in the United States (Title) | + |
| U79OA000456 | 1 | 05/08/2015 - 06/12/2015 (Project Period) | SHAKESPEARE, WILLIAM (PD/PI) | A Midsummer Night's Dream and Other Known Sleeping Disorders (Title) | + |
| U79OA000000 | 1 | 05/08/2015 - 06/12/2015 (Project Period) | SHAKESPEARE, WILLIAM (PD/PI) | A Winter's Tale: A Comprehensive Study of the Common Cold (Title) | + |

« Return to PI Search

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for scored applications. Please await instructions from the NIH on whether to complete this information

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

Status Result - List of Applications/Grants 87

[Export](#)

| | | | | | |
|---------------------------------|---|--|------------------------------|--|---|
| Application ID Not Yet Assigned | 2 | 01/01/2016 - 12/31/2017 (Project Period) | SHAKESPEARE, WILLIAM (PD/PI) | Measure for Measure & Other Scientific Methodologies (Title) | + |
| R21MH123456 | 2 | 06/01/2014 - 05/31/2016 (Project Period) | MARLOWE, CHRISTOPHER (PD/PI) | The Tragical History of the Life and Death of Doctor Faustus (Title) | - |

| Application ID | Grants.gov Tracking# | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Available Actions |
|-----------------|----------------------|--|---|---------------------|-------------------------------|-------------|----------------------|
| 5R21MH123456-02 | | A Tragical History of the Life and Death of Doctor Faustus | MARLOWE, CHRISTOPHER (PI) SHAKESPEARE, WILLIAM (MPI) | | Pending | 05/22/2014 | RPPR |
| 1R21MH123456-01 | GRANT12345678P | A Tragical History of the Life and Death of Doctor Faustus | MARLOWE, CHRISTOPHER (PI) SHAKESPEARE, WILLIAM (MPI) | Submission Complete | Awarded, Non-fellowships only | 05/22/2014 | |

Once expanded, the following information is displayed:

Application ID

The application ID is provided as a link, which when selected opens the *Status Information* screen.

Status Information includes grant/application information such as status history, study section, contacts, etc. [Refer to the section of this document titled *Status Information on Page 138* for more information.](#)

If multiple PIs exist on the project, an *MPI* indicator appears next to the application ID.

Grants.gov Tracking #

This column shows the number assigned when the application was submitted electronically to Grants.gov. This is a non-sortable field.

Proposal Title

The project name submitted on the application is displayed in this column.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status

The submission status of the application.

Current Application Status

This column displays the status of the application.

Status Date

The date on which the current status was set.

Available Actions (buttons)

Use the buttons in this column to access other modules or features within Commons. Available actions vary depending on the application. Possible actions include:

RPPR

Opens the *RPPR Menu* screen for editing or submitting an Research Performance Progress Report (RPPR). [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module on Page 232*.](#)

Public Access PRAM

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting Public Access PRAM. [Refer to the section of this document titled *Research Performance Progress Report \(RPPR\) Module on Page 232*.](#)

IC Requested PRAM

Opens the *Progress Report Additional Materials (PRAM)* screen for submitting IC Requested PRAM. [Refer to the section of this document titled *Research Performance Progress Report*](#)

[\(RPPR\) Module on Page 232.](#)

Fellowship Face Page

Displays for Fellowship Awards only

Progress Report Face Page

Only for paper grants not SNAP eligible

JIT

This link is displayed for applications eligible to submit Just In Time materials. Selecting the link opens the *Just In Time* screen. [Refer to the section of this document titled *Just in Time \(JIT\)* on Page 179.](#)

Extension

This link opens the No-Cost Extension (NCE) feature. [Refer to the section of this document titled *No-Cost Extension \(NCE\)* on Page 187.](#)

Closed

This link opens the *Closeout Status* screen, which provides information on a closed grant. [Refer to the section of this document titled *Closeout Status* on Page 156.](#)

Requires Closeout

This link opens the *Closeout Status* screen, which provides a means for uploading the required documents for closeout. [Refer to the section of this document titled *Closeout Status* on Page 156.](#)

Transmittal Sheet

Opens the Transmittal Sheet on which is listed the institution name, proposal title, PI name, grant number, accession number, and proposal receipt date.

Administrative Supplement

For grants having at least one administrative supplement request either in progress or submitted, but not reviewed. This link is used to view the status of the request.

Relinquishing Statement

Used to access the feature for editing and re-routing the electronic relinquishing statement

Sandy Quarterly Report

For grants identified as NIH Hurricane Sandy Recovery awards. The link opens the *Sandy Quarterly Report* for editing, saving, and/or submission.

Inclusion

Provides access to the Inclusion Management System (IMS) for viewing and managing inclusion

enrollment data for off-cycle reporting, before the progress report is due. This link is available only for those grants requiring inclusion data. For more information about IMS via Status, refer to the separate [Inclusion Management System Online Help](#).

IMPORTANT: To submit inclusion enrollment data with a progress report, IMS must be accessed via the RPPR *Section G. Special Reporting Requirements* rather than through the **Inclusion** link in the Status module. Refer to the [NIH and Other PHS Agency Research Performance Progress Report \(RPPR\) Instruction Guide](#) for more information.

Tip: Use the **Export** buttons –located at the top and bottom of the screen– to view the information in an Excel spreadsheet.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

12.6.3 Searching by Grants.gov Tracking Number

To search for an application by its Grants.gov tracking number, enter the tracking number into the **Tracking Number** field of the **Search by Grants.gov Tracking Num** section and select the **Search** button.

Status: PI Search

The following list of applications represents a result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** menu tab again

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Tracking Number

The *Status Result - Recent/Pending eSubmissions* screen returns only the application matching the entered tracking number. You can view *Errors/Warnings for Prior Failed Submissions* by selecting the **Show Prior Errors and Warnings** button.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

« Return to PI Search

Status Result - List of Applications/Grants

GRANT00123456

| Grants.gov Tracking Number | Application ID | eSubmission Status | Proposal Title |
|----------------------------|----------------|--------------------|-----------------------|
| GRANT00123456 | | eSubmission Error | The Taming of the Flu |

| PD/PI Name | eSubmission Status Date |
|----------------------|-------------------------|
| SHAKESPEARE, WILLIAM | 06/16/2015 10:38:14 |

[Show Prior Errors and Warnings](#)

12.7 How does a PI track submission status?

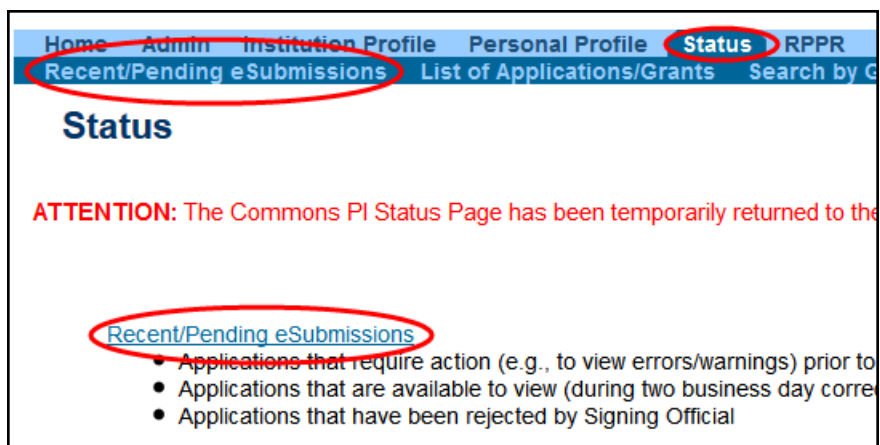
The designated *Contact PD/PI* is able to view status information relating to their newly submitted applications during the "viewing window" (the first two business days after submission up to the submission deadline).

After the deadline, any applications which remains in the Pending status will also be visible.

NOTE: A PI may grant a Commons user with the ASST role access to the Status module. ASST users granted this authority can view the status results as the PI would, however, the ASST user will not have access to the links found in the **Action** column. [Refer to the section of this document titled *Direct Delegations on Page 70*](#) for information on delegating Status.

Steps to access status information:

1. Log in to [eRA Commons](#) with your Principle Investigator (PI) account username and password.
2. Click the "Status" tab and then select the "Recent/Pending eSubmissions" search option in the sub-menu bar or in the body of the page. (view screenshot)



3. The next screen will display the results.

Status Result - Recent/Pending eSubmissions

The following list of applications represents a result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** menu tab again.

| Grants.gov Tracking # | Application ID | eSubmission Status | Proposal Title | PD/PI Name | eSubmission Status Date | Show All Prior Errors |
|-----------------------|---------------------------|--------------------|--|----------------------|-------------------------|--|
| GRANT00000001 | AN2000000 | eSubmission Error | Multi-scale mapping project for this, that, and the other thing. | SHAKESPEARE, WILLIAM | 2006-10-03 04:24:52 | Show Prior Errors and Warnings |
| GRANT00000010 | AN2000010 | eSubmission Error | Scientific research that is groundbreaking. | SHAKESPEARE, WILLIAM | 2007-02-14 16:15:31 | Show Prior Errors and Warnings |
| GRANT00000100 | AN2000100 | eSubmission Error | Neuronal Signaling and other hard to explain medical stuff | SHAKESPEARE, WILLIAM | 2007-10-30 15:37:10 | Show Prior Errors and Warnings |

[Export to Excel](#)
[Show Query](#)
[Print Hitlist](#)

Tip: Use the **Export** buttons –located at the top and bottom of the screen– to view the information in an Excel spreadsheet.

To return to the search screen, select the **Return to PI Search** link at the top of the page.

The following information is included in the table:

Grants.gov Tracking

This is the number assigned when the application was submitted electronically to Grants.gov.

Application ID

A unique value assigned to applications before an NIH grant number is assigned

eSubmission Status

This shows the status of approval for the application.

Proposal Title

This is the project name submitted on the application.

NOTE: In the **Proposal Title** field, the designation of *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

PD/PI Name

This is the Contact PI on the application.

eSubmission Status Date

This is the date of the latest status update.

Show All Prior Errors

*This column displays the **Show Prior Errors and Warnings** link. Selecting this link opens the **Errors/Warnings for Prior Failed eSubmissions** screen and displays any errors or warnings received for the application during eSubmission.*

For the purposes of eSubmission tracking, perform the following from the search results:

1. Check the **eSubmission Status** column to determine if your application status is “*eSubmission Error*” or “*Pending Verification*”.

NOTE: Errors *will* stop the submission process and require a [change/corrected application](#) but warnings will not. It is still critical to check the warning messages to ensure that the issue referenced does not apply to your application.

2. Use one of the two following methods to view the error messages and warnings. (show screenshot)

Status Result - Recent/Pending eSubmissions ?

The following list of applications represents a result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** menu tab again.

| Grants.gov Tracking # | Application ID | eSubmission Status | Proposal Title | PD/PI Name | eSubmission Status Date | Show All Prior Errors |
|-----------------------|----------------------------|----------------------|---|------------------|---------------------------|--|
| GRANT1: 2 | AN 1234567 | Pending Verification | Skeletal Manifestations of Renal PTH and FGF23 Resistance in Kidney Disease | FRIEDMAN, MILTON | 2016-06-09:10:04 1 | Show Prior Errors and Warnings |

Export to Excel Show Query Print Hitlist

- **Method 1:** Select the **Show Prior Errors and Warnings** link from the **Show All Prior Errors** column to the right.
- **Method 2:** If "Pending Verification", select the Accession Number (AN:#####) displayed in the **Application ID** column to open the *Status Information* page. Submission errors or warnings are displayed at the top of the *Status Information* page during the two day review period before the submission deadline. [Refer to the section of this document titled *Status Information on Page 138*](#) for more information on this screen.

12.8 Status Information

Status Information is a collection of grant information and links to grant-related documents stored in one place. *Status Information* is accessed by selecting the **Application Number** (hyperlink) from any result screen in the Status module.

Contacts

Administration: Scientific Review
Administrator(SRO))

Name: Administrator, SRO

Phone: 301-555-5555

Email: eRATest@mail.nih.gov

Administration: Grants
Management Specialist(GMS)

Name: Specialist, Grant

Phone:

Email: eRATest@mail.nih.gov

Administration: Program
Official(PO)

Name: Official, Program

Phone: 301-555-5555

Email: eRATest@mail.nih.gov

Latest Update

Application Source: Grants.gov
FOA: [PA13-302] - RESEARCH
PROJECT GRANT (PARENT R01)

eRA Service Desk

Hours: Mon-Fri, 7AM-8PM EDIT/EST

Web: <http://grants.nih.gov/support>

Toll-free: 866-504-9552

Phone: 301-402-7469

Contact initiated outside of
business hours via Web or voice
mail will be returned the next
business day.

Status Information ?



1 R01 HL123456-01

Status: Application awarded. **Project Title:** Algorithmic Cancer Forecasting and Disruption

PI Name: CANTOR, GEORG **NIH Appl. ID:** 7654321 **Application ID:** 1R01HL123456-01

Status

Status: Application awarded.

Last Status Update Date: 04/14/2006

PI Name: CANTOR, GEORG **Institution Name:** COLLABORATORIUM UNIVERSITY **NIH Appl. ID:** 7654321
School Name: SCHOOL OF
MATHEMATICAL MEDICINE
School Category:
ORGANIZED RESEARCH
UNITS
Division Name: NONE
Department Name: NONE

Proposal Receipt Date: 03/28/2002 **Proposal Title:** Prediction of Cancer Progression and Associated
Markers to Develop Innovative Disruption and Treatment

Project Period Begin Date: 04/01/2002 **Current Award Notice Date:**
09/15/2001

Project Period End Date:
03/31/2006

Application Source: Paper **eApplication Status:**

FOA:

Other Relevant Documents

[e-Application](#)

[Appendix:1254-Suppl. Table.pdf](#)

[eSubmission Cover Letter](#)

Additions for Review

[Document Event Log](#)

Review

Application

**Award Document
Number:** R1HL12345A

FSR Accepted Code: N

Snap Indicator Code: Y

**Review Outcome
Available:** Yes

**Summary Statement
Available:** No

**Early Stage Investigator
Eligible:**

**New Investigator
Eligible:** Y

**Eligible for FFATA
Reporting:** No

Study Section

Scientific Review Group:
HEM-1

**Council Meeting Date
(YYYY/MM):** 2002 / 01

Advisory Council (AC)

Institute/Center Assignment

| Institute or Center | Assignment Date |
|---------------------------|-----------------|
| NATIONAL CANCER INSTITUTE | 03/28/2002 |

12.8.0.1 The screen displays the following sections of information:

Contacts: Names, phone numbers, and email addresses for grant-related contacts

The **Name**, **Phone**, and **Email** displays for the following contacts:

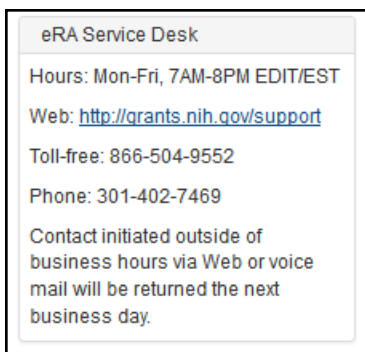
- Scientific Review Officer (SRO)
- Grants Management Specialist (GMS)
- Program Official (PO)

| Contacts |
|---|
| Administration: Scientific Review Administrator(SRO)) Name: Admin, SRO Phone: 301-555-5555 Email: eRATest@mail.nih.gov |
| Administration: Grants Management Specialist(GMS) Name: Specialist, GM Phone: Email: eRATest@mail.nih.gov |
| Administration: Program Official(PO) Name: Official, Program Phone: 301-555-5555 Email: eRATest@mail.nih.gov |

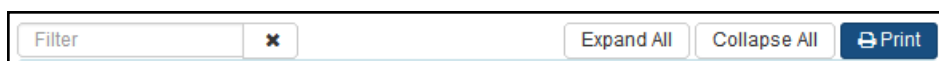
Latest Update: Displays the latest changes affecting the application.

| Latest Update |
|---|
| Application Source: Grants.gov FOA: [PA13-302] - RESEARCH PROJECT GRANT (PARENT R01) |

eRA Service Desk: This section contains the contact information and operating hours for the Service Desk. The Service Desk is able to address most technical, functional, and account-related questions.



[Screen Tools]: Under the title of the screen (Status Information) is a row that contains tools to manage the screen content.



- **Filter** provides a text field that is used to search for specific content on the screen. This tool does not search the previously listed sections on the left of the page (Contacts, Latest Update, or eRA Service Desk)
- **Expand All** and **Collapse All** will affect each of the sections under the screen title except the application information section. **Expand All** will open all of the remaining sections to show all of the contents of that section. **Collapse All** will hide the content of those sections and only show the title of the section. This applies to;
 - Status
 - Other Relevant Documents
 - Additions for Review
 - Institute/Center Assignment
 - Status History
 - Awards
 - Reference Letters

NOTE: Individual sections may be expanded or collapsed individually.

- **Print** initiates a print of all of the content of the screen in a print-friendly format. The content in collapsible sections will print regardless of whether or not the sections are expanded or collapsed.

[Application Information]: At the top of the screen, under the screen tools, is a section which contains the following application information:

- Application number
- Status
- Project Title
- PI Name
- NIH Appl. ID
- Application ID

| | | |
|------------------------------|--|---------------------------------|
| 1 R01 HL123456-01 | | |
| Status: Application awarded. | Project Title: Algorithmic Cancer Forecasting and Disruption | |
| PI Name: CANTOR, GEORG | NIH Appl. ID: 7654321 | Application ID: 1R01HL123456-01 |

Status: Includes basic information describing the current disposition of the application using the following data points:

- Status
- Last Status Update Date
- PI Name
- Institution Name
- NIH Appl. ID
- School Name
- School Category
- Division Name
- Department Name
- Proposal Receipt Date
- Proposal Title
- Project Period Begin Date
- Project Period End Date
- Current Award Notice Date
- Application Source
- eApplication Status
- FOA

| | | |
|---------------------------------------|--|-----------------------|
| Status | | |
| Status: Application awarded. | | |
| Last Status Update Date: 04/14/2006 | | |
| PI Name: CANTOR, GEORG | Institution Name: COLLABORATORIUM UNIVERSITY | NIH Appl. ID: 7654321 |
| | School Name: SCHOOL OF MATHEMATICAL MEDICINE | |
| | School Category: ORGANIZED RESEARCH UNITS | |
| | Division Name: NONE | |
| | Department Name: NONE | |
| Proposal Receipt Date: 03/28/2002 | Proposal Title: Prediction of Cancer Progression and Associated Markers to Develop Innovative Disruption and Treatment | |
| Project Period Begin Date: 04/01/2002 | Current Award Notice Date: 09/15/2001 | |
| Project Period End Date: 03/31/2006 | | |
| Application Source: Paper | eApplication Status: | |
| FOA: | | |

NOTE: In the **Proposal Title** field, *NFP* (no further processing) is added to the application title to indicate that the application will not be referred for review.

Other Relevant Documents: Includes links to grant-related documents.



The following links may be available within **Other Relevant Documents** depending on the application/grant:

- **Abstract**
- **Administrative Supplement(s)**
- **Appendix 1 – 10 Submitted File Name**
- **Closeout Final Report Additional Material Request (FRAM)**
- **Component Appendices**
- **e-Application**
- **Final Invention Statement**
- **Final Research Performance Progress Report (Final RPPR)**
- **Fellowship Proposal Face Page**
- **FRAM Submission**
- **Institute/Center Progress Report Additional Material Request**
- **Just in Time**
- **FFR/FSR**
- **Notices of Grant Award**
- **Multi Year Progress Report(s)**
- **Notices of Grant Award (PDF)**
- **Progress Report Face Page**
- **Progress Report Additional Material (PRAM)**
- **Relinquishing Statement(s)**
- **Research Performance Progress Report**
- **Summary Statement**
- **Unfunded Progress Report**
- **xTrain Training Appointment(s)**
- **xTrain Termination Notice(s)**

Additions for Review: Contains supplemental documents/files that were provided to the SRO to further support the application and/or individual sections.

| |
|--------------------------------------|
| Additions for Review |
| Document Event Log |

Review: This section contains the following subsections and content:

- **Application:**

- Award Document Number
- FSR Accepted Code
- Snap Indicator Code
- Review Outcome Available
- Summary Statement Available
- Early Stage Investigator Eligible
- New Investigator Eligible
- Eligible for FFATA Reporting

| Review | | |
|---|---|-----------------------|
| Application | Study Section | Advisory Council (AC) |
| Award Document Number: R1HL12345A FSR Accepted Code: N Snap Indicator Code: Y Review Outcome Available: Yes Summary Statement Available: No Early Stage Investigator Eligible: New Investigator Eligible: Y Eligible for FFATA Reporting: No | Scientific Review Group: HEM-1 Council Meeting Date (YYYY/MM): 2002/01 | |

- **Study Section**

- Scientific Review Group
- Council Meeting Date

- **Advisory Council**

Institute/Center Assignment: Displays the assignment history for the application.

The following information is displayed within **Institute or Center Assignment**:

- **Institute or Center**
- **Assignment Date**

| Institute/Center Assignment | |
|--|-----------------|
| Institute or Center | Assignment Date |
| NATIONAL CANCER INSTITUTE | 03/28/2002 |
| NATIONAL HEART, LUNG, AND BLOOD INSTITUTE (Primary) | 03/28/2002 |
| NATIONAL HEART, LUNG, AND BLOOD INSTITUTE (Primary) | 03/28/2002 |
| NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES | 03/28/2002 |
| NATIONAL INSTITUTE OF DIABETES AND DIGESTIVE AND KIDNEY DISEASES | 03/28/2002 |

Status History: Provides a history of the life of the application from submitted to awarded.

The following is displayed within **Status History**:

- **Effect Date**
- **Status Message**

| Status History | |
|----------------|--|
| Effect Date | Status Message |
| 03/11/2016 | Award prepared: refer questions to Grants Management Specialist. |
| 03/10/2016 | Pending administrative review. Refer any questions to Program Official or Grants Management Specialist. |
| 02/04/2016 | Council review completed. |
| 10/30/2015 | Scientific Review Group review completed: Council review pending. Refer any questions to the Program Official or Grants Management Specialist. |
| 07/23/2015 | Scientific Review Group review pending. |
| 07/15/2015 | Application entered into system |

Awards: Details on awarded dollar amounts.

The following award dollar information is available:

- **Direct Amount**
- **Facilities and Administrative**
- **Fee Amount**

- **Total Amount**

| Awards | | | |
|---------------|-------------------------------|------------|--------------|
| Direct Amount | Facilities And Administrative | Fee Amount | Total Amount |
| \$225,000 | \$102,082 | \$0 | \$327,082 |

Reference Letter(s): A list of submitted references letters.

If there are associated reference letters, the following information is available.

- **Referee Name**
- **Organization Affiliation**
- **Department**
- **Email**
- **Submitted**

| Reference Letter(s) |
|--|
| This list shows Reference Letters associated with this particular Grant Application. Principal Investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eRA Commons |

PIs can also view reference letter information in the Reference Letter section of their Personal Profile. Refer to the [Reference Letters](#) topic of the Commons online help system for more information.

12.8.1 Additions for Review

As the applicant, after submitting an application, you might send your Scientific Review Officer (SRO) additional material that either clarifies or supplements information found on the original submission. When the SRO uploads this material, it is available to you via the *Status Information* screen.

Selecting the **Additions for Review** link from the **Other Relevant Documents** section of *Status Information* opens the *Additions for Review* screen. This screen provides links to the additional material along with other associated information.

Additions for Review[Back to Grant Folder](#)

| | |
|---------------|------------------------------|
| Grant Number | 1 R01 AI654321-01 |
| PI Name(s) | Auden, W.H. |
| Project Title | The Age of Anxiety Disorders |
| Appl. Status | Pending IRG Review |
| Institution | SAMPLE UNIVERSITY |
| Appl ID | 1234567 |

R01AI654321-01 /

| Group | Document | Date |
|-----------------------|--|---------------------|
| Supplemental Material | Post-submission material | 10/25/2012 11:35 AM |

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (*Contact*) following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the uploaded material(s):

- **Group**

Displays the category to which the item belongs. Categories include Updated Pages; Supplemental Material; Collaboration Letters; Modified Budget Pages; Accepted Publication; Biographical Sketches; and Other.

- **Document**

Displays the document file name as a link, which opens the uploaded document. This document can be viewed, updated, and saved.

- **Date**

The date the document was uploaded.

12.8.2 Administrative Supplements

Selecting the **Administrative Supplement(s)** link from the **Other Relevant Documents** section of *Status Information* opens the *Administrative Supplements* screen. This screen provides read-only access to administrative supplements created for the particular grant.

Administrative Supplements are requests for (or the award of) additional funds during a current project period to provide for an increase in costs due to unforeseen circumstances.

Administrative Supplements

| | |
|---------------|---|
| Grant Number | 5 R01 EB123456-09 |
| PI Name(s) | Austen, Jane; Bennet, Elizabeth (Contact) ; Darcy, Fitzwilliam |
| Project Title | Pride & Prejudice and the Human Psyche |
| Appl. Status | Application awarded. |
| Institution | UNIVERSITY OF PEMBERLEY |
| Appl ID | 8537158 |

☐ Show Current Support Year Admin Supplements
 ☒ Show All Support Years Admin Supplements

| Identifying Information | Accession Number | Supplement Status | Submitted Date | Comments for Grantee |
|-----------------------------------|------------------|---------------------|------------------------|-------------------------------|
| 3 R01 EB123456-09 | 1234567 | Submitted to Agency | 2014-05-05 02:56:28 PM | These are my sample comments! |

Close

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word *(Contact)* following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the administrative supplements, displayed in a table format. You can opt to view the current support year or all support years by selecting the appropriate radio button:

- **Show Current Support Year Admin Supplements**
- **Show All Support Years Admin Supplements**

The table includes the following columns of information:

- **Identifying information**

Displays the grant number as a link, which opens the *Administrative Supplement Request* PDF.

- **Accession Number**
- **Supplement Status**
- **Submitted Date**
- **Comments for Grantee**

Select the **Close** link to exit the screen.

12.8.3 Institute/Center PRAM Requests

Selecting the link for **Progress Report Additional Material (PRAM)** from the **Other Relevant Documents** section of *Status Information* opens the *Institute/Center PRAM Requests* screen. This screen provides read-only access to all current IC PRAM requests along with associated data.

Institute/Center PRAM Requests ?

[Back to Grant Folder](#)

Grant Number

PI Name(s)

Project Title

Appl. Status

Institution

Appl ID

5 R01 EB123456-09
Austen, Jane; **Bennet, Elizabeth (Contact)**; Darcy, Fitzwilliam
Pride & Prejudice and the Human Psyche
Application awarded.
UNIVERSITY OF PEMBERLEY
8537158

| Identifying Information | Requested Date | Number of Reminder(s) Sent | Last Reminder Sent Date |
|--|---------------------|----------------------------|-------------------------|
| Sample PRAM Request #1 | 2014-06-05 10:02 AM | 0 | 2014-06-05 10:02 AM |

Progress Report Additional Material

[06/05/2014 Times Revised \(1\)](#)

Public Access PRAM eNotifications are system-generated upon submission of a RPPR with non-compliant publication(s), and are not reflected in the chart above.

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word *(Contact)* following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the submitted PRAM.

- **Identifying Information**

Displays the identifying name for the information provided by the IC PRAM request sender, displayed as a link. Select the link to open a read-only copy of the I/C PRAM Request details sent to the grantee.

- **Requested Date**
- **Number of Reminders Sent**
- **Last Reminder Sent Date**

At the bottom of the screen is a link next to the title **Progress Report Additional Material**. Select this link to open a consolidated report of all submitted materials responding to the PRAM request. The link itself shows the last updated date of the PRAM and the number of times revised.

The *Progress Report Additional Materials* file opens as a PDF document. The file is formatted to provide an information header section for each PRAM submission followed by the attached documents provided during that submission. If multiple submissions of IC Requested PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions in reverse chronological order. Information in the document can be navigated using the provided bookmarks on the left.

12.8.4 Relinquishing Statements

Selecting the link for **Relinquishing Statement(s)** from the **Other Relevant Documents** section of *Status Information* opens the *Relinquishing Statements* screen. This screen provides access to read-only versions of all relinquishing statements associated with the grant.

A relinquishing statement is required as part of the Change of Institution process allowing an extramural grantee institution to transfer an active grant to another institution. The process is initiated by the Signing Official of the institution that holds the award, who submits a Relinquishing Statement in eRA Commons and identifies the institution that will take over the award.

| Relinquishing Statements ? | | | |
|---|---|---------------------|----------------------|
| Grant Number | 1 R56 DK123456-01 | | |
| PI Name(s) | Shakespeare, William | | |
| Project Title | All's Well That Ends Well with Advancements in Medicine | | |
| Appl. Status | Application awarded. | | |
| Institution | SRATFORD-UPON-AVON UNIVERSITY | | |
| Appl ID | 1234567 | | |
| Document Name | Status | Submitted Date | Comments for Grantee |
| Relinquishing Statement | Submitted to Agency | 2014-06-04 09:29:18 | |
| Close | | | |

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word (*Contact*) following the name.

- **Project Title**
- **Appl. Status**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the relinquishing statement(s) for the grant.

- **Document Name**

The relinquishing statement name is displayed as a link, which opens a read-only version of the form.

- **Status**

The status of the submitted form.

- **Submitted Date**

The date on which the organization's SO submitted the form.

- **Comments for the Grantee**

Where applicable, displays comments entered by Agency staff directed to the grantee.

12.8.5 Closeout FRAM Requests

Selecting the link for **Closeout Final Report Additional Materials Request (FRAM)** from the **Other Relevant Documents** section of *Status Information* opens the *Closeout FRAM Requests* screen. This screen provides read-only access to all current Closeout FRAM requests along with associated data.

| Closeout FRAM Requests | | | | Back to Grant Folder |
|------------------------|-------------------------------|--|--|--------------------------------------|
| Grant Number | 1 R15 MH123456-01 | | | |
| PI Name(s) | Auden, W.H. | | | |
| Project Title | The Age of Anxiety Disorders | | | |
| Appl. Status | Awarded, Non-fellowships only | | | |
| Institution | UNIVERSITY OF LITERATURE | | | |
| Appl ID | 123456 | | | |

| Identifying Information | Requested Date | Number of Reminder(s) Sent | Last Reminder Sent Date |
|--|---------------------|----------------------------|-------------------------|
| Sample FRAM request #1 | 2014-09-22 11:43 AM | 0 | 2014-09-22 11:43 AM |
| Sample FRAM request #2 | 2014-09-22 11:42 AM | 0 | 2014-09-22 11:42 AM |
| Sample FRAM request #3 | 2014-09-22 11:41 AM | 0 | 2014-09-22 11:41 AM |

The top of the screen displays general grant information including:

- **Grant Number**
- **PI Name(s)**

For multiple PIs, the names display in alphabetical order with Contact PI name in bold font with the word *(Contact)* following the name.

- **Project Title**
- **Institution**
- **Appl ID**

Below this section, you can find information specific to the submitted FRAM.

- **Identifying Information**

Displays the identifying name for the information provided by the FRAM request sender, displayed as a link. Select the link to open a read-only copy of the FRAM Request details sent to the grantee.

- **Requested Date**
- **Number of Reminders Sent**
- **Last Reminder Sent Date**

12.9 Viewing Summary Statements from Status Information

Summary Statements are PDF documents combining reviewers' written comments and the Scientific Review Officer's (SRO) summary of the discussion surrounding your application during the review meeting.

Policy: [Scoring System and Procedure](#)

As a PI, you can view your application's Summary Statement using the Status Information screen once it has been released by the SRO following the review meeting.

To view your Summary Statement:

1. Log into Commons.
2. Select the **Status** tab from the Commons menu.
3. Select the **List of Applications/Grants** link or menu tab.

Status

[Recent/Pending eSubmissions](#)

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been refused by Signing Official

[List of Applications/Grants](#)

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

- Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Grants.gov Tracking Number:

The results display in table format. The application ID within this table is provided as a link, which when selected opens the *Status Information* screen.

Status Result - List of Applications/Grants

Notes & Tips:

- **Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click [List of Applications/Grants](#) menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|-----------------------------------|-----------------------|--|----------------------|----------------------|----------------------------------|-------------|-----------------------------------|
| 2R01NS010101-05A2 | | Measure for Measure & Other Scientific Methodologies | SHAKESPEARE, WILLIAM | Pending Verification | Administratively Withdrawn by IC | 11/01/2007 | |
| 1R01EB012345-01 | GRANT12300001P | AI's Well That Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 03/01/2012 | Transmittal Sheet |
| 1X02OD000001-01 | GRANT10000005P | Much Ado About Childhood Obesity in the United States | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 11/10/2011 | Transmittal Sheet |

1-63 of 63 1

4. Select the application ID link for the specific application.

The *Status Information* screen displays. The top of *Status Information* includes a section called **Other Relevant Documents**. This section houses links to various application-related documents, including the Summary Statement.

5. Select the link titled **Summary Statement**. It will open in a separate window.

| Status Information | | | | |
|--|---|--------|--|--|
| General Grant Information | | | | |
| Status: | Application awarded. | | | |
| Institution Name: | THE UNIVERSITY OF STRATFORD UPON AVON | | | |
| School Name: | GENERAL CAMPUS | | | |
| School Category: | SCHOOLS OF ARTS AND SCIENCES | | | |
| Division Name: | NONE | | | |
| Department Name: | DIVISION OF SCIENCE | | | |
| PI Name: | SHAKESPEARE, WILLIAM | | | |
| Application ID: | 1R01EB012345-01 | | | |
| Proposal Title: | AI's Well that Ends Well with Advancements in Medicine | | | |
| Proposal Receipt Date: | 03/01/2012 | | | |
| Last Status Update Date: | 09/18/2012 | | | |
| Current Award Notice Date: | 09/18/2012 | | | |
| Application Source: | Grants.gov | | | |
| Project Period Begin Date: | 09/18/2012 | | | |
| Project Period End Date: | 07/31/2014 | | | |
| eApplication Status: | Submission Complete | | | |
| FOA: | [PA00-000] - NIH EXPLORATORY/DEVELOPMENTAL RESEARCH GRANT PROGRAM | | | |
| NIH Appl. ID: | 1234567 | | | |
| Other Relevant Documents | | | | |
| e-Application | | | | |
| Summary Statement | | | | |
| Letters to US | | | | |
| Notice(s) of Grant Award (PDF) | 09/18/2012 | | | |
| Abstract (Awarded Grant) | | | | |
| Just In Time | 08/24/2012 Times Revised(1) | | | |
| eSubmission Cover Letter | | | | |
| Additions for Review (0 documents) | | | | |
| Correspondence | | | | |
| Referral | | | | |
| Date | Description | Action | | |

12.10 Viewing the Notice of Award (NOA)

Policy: [Notice of Award Policy](#)

Notices of Grant Awards (NOA) are sent to the email address specified in the Institutional Profile. The SO can update the NOA address through the institutional profile update function.

NOAs are also available for viewing within the *Status Information* screen.

To view the NOA:

1. Log into Commons.
2. Select the **Status** tab from the Commons menu.

3. Select the **List of Applications/Grants** link or menu tab.

Home Admin Institution Profile Personal Profile **Status** RPPR Internet Assisted Review xTrain Admin Supp eRA Partners

Recent/Pending eSubmissions **List of Applications/Grants** Search by Grants.gov Tracking Num

Status

[Recent/Pending eSubmissions](#)

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been refused by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

- Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Grants.gov Tracking Number:

The results display in table format. The application ID within this table is provided as a link, which when selected opens the *Status Information* screen.

Status Result - List of Applications/Grants

Notes & Tips:

- **Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click [List of Applications/Grants](#) menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|-----------------------------------|-----------------------|---|----------------------|----------------------|----------------------------------|-------------|-----------------------------------|
| 2R01NS010101-05A2 | | Measure for Measure & Other Scientific Methodologies | SHAKESPEARE, WILLIAM | Pending Verification | Administratively Withdrawn by IC | 11/01/2007 | |
| 1R01EB012345-01 | GRANT12300001P | All's Well That Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 03/01/2012 | Transmittal Sheet |
| 1X02OD0000001-01 | GRANT10000005P | Much Ado About Childhood Obesity in the United States | SHAKESPEARE, WILLIAM | Submission Complete | Awarded. Non-fellowships only | 11/10/2011 | Transmittal Sheet |

4. Select the application ID link for the specific application.

The *Status Information* screen displays. The top of *Status Information* includes a section called **Other Relevant Documents**. This section houses links to various application-related documents, including the NOA. The NOA link is displayed as a date next to the field titled **Notice(s) of Grant Award (PDF)**.

5. Select the NOA link. It will open in a separate window.

| Status Information | |
|--|---|
| General Grant Information | |
| Status: | Application awarded |
| Institution Name: | THE UNIVERSITY OF STRATFORD UPON AVON |
| School Name: | GENERAL CAMPUS |
| School Category: | SCHOOLS OF ARTS AND SCIENCES |
| Division Name: | NONE |
| Department Name: | DIVISION OF SCIENCE |
| PI Name: | SHAKESPEARE, WILLIAM |
| Application ID: | 1R01EB012345-01 |
| Proposal Title: | All's Well that Ends Well with Advancements in Medicine |
| Proposal Receipt Date: | 03/01/2012 |
| Last Status Update Date: | 09/18/2012 |
| Current Award Notice Date: | 09/18/2012 |
| Application Source: | Grants.gov |
| Project Period Begin Date: | 09/18/2012 |
| Project Period End Date: | 07/31/2014 |
| eApplication Status: | Submission Complete |
| FOA: | (PA00-000) - NIH EXPLORATORY/DEVELOPMENTAL RESEARCH GRANT PROGRAM |
| NIH Appl. ID: | 1234567 |
| Other Relevant Documents | |
| e-Application | |
| Summary Statement | |
| Latest NGA | |
| Notice(s) of Grant Award (PDF) | 09/18/2012 |
| Closeout/Closeout Grant | |
| Just in Time | 08/24/2012 Times Revised(1) |
| eSubmission Cover Letter | |
| Additions for Review (0 documents) | |
| Correspondence | |
| Referral | |
| Date | Description |
| | Action |

12.11 Closeout Status

Policy: [Closeout policy information](#)

Closeout is a feature that allows a grantee to electronically file the information necessary to complete grant closeout requirements. It interfaces with the Closeout system used by Agency staff to track and monitor this business process. NIH will close out grants as soon as possible after expiration of a grant that is not to be extended or after termination of a grant. Closeout includes timely submission of all required reports and adjustments for amounts due the grantee or NIH. Closeout of a grant does not automatically cancel any requirements for property accountability, record retention, or financial accountability. Following Closeout, the grantee remains obligated to return funds due, because of later refunds, corrections, or other transactions, and the Federal Government may recover amounts based on the results of an audit covering any part of the period of grant support.

If you hold an SO, PI, or FSR role, you can access the *Closeout Status* screen to perform the following:

- Track your grants that are in Closed status
- Submit reports required for closeout
- Submit any requested additional material (FRAM) related to your Final Research Performance Progress Report (Final RPPR)
- Access the FFR module of Commons to initiate and submit Federal Financial Reports (you must hold an FSR role)

The *Closeout Status* screen is accessed via links on the Status result screens ([Status Result - Closeout](#) or [Status Result - General Search](#) for SOs; [Status Result - List of Applications/Grants](#) for PIs).

The links you may see on your results screen include:

- **Requires Closeout:** Grant has not completed the closeout process
- **Closed:** Grant has completed the closeout process
- **In Unilateral Closeout:** Grant is currently in the process of being unilaterally closed (see note below)
- **Unilaterally Closed** Grant has been unilaterally closed by the IC (see note below)

NOTE: The U.S. Department of Health and Human Services (HHS) has issued a directive to Agencies on new policies for closeout of grant awards. NIH has revised its policies and procedures to align with the OER Policy Announcement 2014 regarding the guidance on implementation of HHS GPAM Chapter 1101 (Closeout), including Unilateral Closeout.

The policy chapter directs Institutes/Centers (ICs) to initiate a unilateral closeout – a closeout without the cooperation of the grantee – 180 days after the project end date if it has not received acceptable final reports required by the terms and conditions of an award. After making reasonable efforts to obtain the final reports ICs must close all awards no later than 270 days after the project end date. This substantially decreases the timeframe in which NIH must officially close a grant after the project end date.

At the top of the *Closeout Status* screen, the following **Application Information** displays:

- **Grant Number**
- **PI Name**
- **Closeout Contact Name**
- **Closeout Contact Email**
- **Closeout Contact Phone**
- **Project Period**
- **Proposal Title**

Below this information is the **Closeout Submission Requirement** including **Instruction**, **Status** of the requirement, **Result of Actions**, and **Date** of action. Also included are the available **Action** link(s), which vary and may include:

- FFR (**Create New** and **View** links)
- Final RPPR (**Process Final RPPR**; **View**; **FRAM**; and **View FRAM** links)
- Final Invention Statement (**Process Final Invention Statement** and **View** links)

Refer to the related topics for more information about FFR, Final Research Performance Progress Report, and Final Invention Statements.

IMPORTANT: At the top of the screen, text will indicate if the grant is in unilateral closeout or has been unilaterally closed, as applicable, and the date on which this occurred. While In

Unilateral Closeout, links will be available in the **Action** column unless they have been closed by Grants Management Staff, in which case you will not see the links. When Unilaterally Closed, links will not be available. The message on the screen indicates whether links have been disabled.

IMPORTANT: eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps and images provided for your eRA Commons role.

[Home](#)
[Admin](#)
[Institution Profile](#)
[Personal Profile](#)
[Status](#)
[ASSIST](#)
[Prior Approval](#)
[RPPR](#)
[Internet Assisted Review](#)
[xTrain](#)
[xTRACT](#)
[Admin Supp](#)
[eRA Partners](#)

[« Return to Search Results](#)

Closeout Status ?

Application Information

| | | |
|---|--|--|
| Grant Number: 5R01DK123456-13 | PD/PI Name: FATHERS, SAM | Closeout Contact Name: MCCASLIN, ISAAC |
| Project Period: 09/30/1999 to 07/31/2016 | Closeout Status: Requires Closeout | Closeout Contact Email: eRATest@mail.nih.gov |
| Proposal Title: Role of Nitric Oxide in Interstitial Cystitis | Date Of Status Change: | Closeout Contact Phone: 301-555-5555 |

Closeout Submission

| Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------|---|--------------|-------------------|------|---|
| FFR | For FFR submission, you must have the Commons FSR role. | Not Started | | | |
| Final RPPR | Only the SO or the PI of the Grant may process the Final RPPR. | Not Received | | | Process Final RPPR |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution. | Not Received | | | Process Final Invention Statement |

| | | | | | | | | | | |
|------|-------|---------------------|------------------|---------------|--------|----------------|------|--------|--------|-------|
| Home | Admin | Institution Profile | Personal Profile | Status | ASSIST | Prior Approval | RPPR | xTrain | xTRACT | Admin |
|------|-------|---------------------|------------------|---------------|--------|----------------|------|--------|--------|-------|

Closeout Status ?

Form Approved OMB No. 0925-0002

| Application Information | | | |
|--------------------------------|---|--------------------------------|-------------------------------|
| Grant Number: | 5R01DK123456-13 | PD/PI Name: | FATHERS, SAM |
| Closeout Contact Name: | MCCASLIN, ISAAC | Closeout Contact Email: | eRATest@mail.nih.gov |
| Closeout Contact Phone: | (301) 555-5555 | Project Period: | 09/30/1999 to 07/31/2016 |
| Proposal Title: | Role of Nitric Oxide in Interstitial Cystitis | | |
| Closeout Status: | Requires Closeout | | Date of Status Change: |

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------|-------------------|------|---|
| FFR | For FFR submission, you must have the Commons FSR role. | Not Started | | | |
| Final RPPR | Only the SO or the PI of the Grant may process the Final RPPR | Not Received | | | Process Final RPPR |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Not Received | | | Process Final Invention Statement |

[Back](#)

12.11.1 Federal Financial Report (FFR) Module

A Federal Financial Report (FFR) is a statement of expenditures associated with a grant. Recipients of federal funds are required to complete an FFR to report the status of funds to the sponsor of the grant.

If you have the FSR role, you can use the FFR module to search for grants and associated FFRs for your institution. In the FFR module, you can perform the following tasks:

- Create a new FFR
- View an FFR
- Submit an FFR
- Revise an FFR

With the FSR role, you can also access the FFR module from the *Closeout Status* screen.

The Commons Online Help System contains detailed information on the FFR module. You can access the FFR topics at the following site: http://era.nih.gov/erahelp/commons/#Commons/FFR/ffr_intro.htm. If you prefer a PDF format user guide, refer to the *Federal Financial Report (FFR) Expenditure Data User Guide* at http://era.nih.gov/files/ffr_user_guide.pdf.

12.11.2 Submitting Your Final Invention Statement (FIS)

You must submit a Final Invention Statement within 90 days following the termination of a grant award. The statement should include all inventions that were conceived or first reduced to practice during the course of work under the grant or award, from the original effective date of support through the date of completion or termination.

Policy: Refer to the [Procedure for Submission of Final Invention Statement and Certification](#) for more policy related information.

All actions are performed from the *Submit Final Invention Statement* screen, which is accessed via the *Closeout Status* screen. From here, SOs and PIs do one of the following:

- Certify that no inventions were conceived or first reduced to practice during the course of work
- Add and submit information on inventions conceived/used during the course of work

NOTE: Although a PI can create the FIS, only a SO can submit it to Agency.

12.11.2.1 Reporting Inventions on Your FIS

IMPORTANT: eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps and images provided for your eRA Commons role.


If you hold an SO or PI role, you can add inventions to the Final Invention Statement.

To add inventions to the FIS:

1. Select the **Requires Closeout** link for the grant from Status search results.

The *Closeout Status* screen displays. Final Invention Statement is listed in the **Closeout Submission Requirement** column. The **Action** column should include a link for **Process Final Invention Statement**.

2. From *Closeout Status*, select the **Process Final Invention Statement** link.


Closeout Status  Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------|-------------------|------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | Create New |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | Not Received | | | Process Final Progress Report |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Not Received | | | Process Final Invention Statement |

[Back](#)

Closeout Status  « Return to Search Results

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK Closeout Contact Name: DOE, JANE
 Project Period: 07/01/2005 to 03/31/2011 Closeout Status: Requires Closeout Closeout Contact Email: JaneDoe@email.com
 Proposal Title: Scientific Research Study that will Change the World Date Of Status Change: 03/31/2011 Closeout Contact Phone: 301-555-1111


| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|---|--------------|-------------------|------------|---|
| FFR | For FFR submission, you must have the Commons FSR role. You must have FSR role to view the document. | Accepted | Accepted by (FSR) | 09/12/2011 | |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report. | Not Received | | | Process Final Progress Report |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution. | Not Received | | | Process Final Invention Statement |

The *Submit Final Invention Statement* screen displays. From this screen you can:

- Cancel out of the processing of the FIS
- Indicate that no inventions were created during the course of the project
- Report inventions created during the course of the project

Refer to the section of this document titled *Claiming No Inventions on Your FIS* on Page 165 for information on submitting an FIS with no inventions.

Follow the steps below to submit a report and claim an invention.


Submit Final Invention Statement 

Form Approved OMB No. 0925-0002

| Application Information | | | |
|-------------------------|--|-------------------------|--------------------------|
| Grant Number: | 5R01NS000001-13 | PD/PI Name: | FINN, HUCK |
| Closeout Contact Name: | JANE DOE | Closeout Contact Email: | JaneDoe@email.com |
| Closeout Contact Phone: | 301-555-1111 | Project Period: | 03/01/2010 to 12/31/2012 |
| Proposal Title: | Scientific Research Study that Will Change the World | | |

To process a Final Invention Statement (HHS Form 568), the individual performing the initial submission—whether that person is the Program Director/Principal Investigator (PD/PI) on the grant or a Signing Official (SO)—at the institution must determine whether inventions are to be reported. If inventions are reported, the specific inventions must be listed. Following this process, the SO should review the report identified by the "View Invention Statement" link and, if acceptable, Submit the Final Invention Statement to HHS for that grant.

[« Return to Search Results](#)

Submit Final Invention Statement 

| Application Information | | |
|--|-------------------------------|--------------------------------|
| Grant Number: | PD/PI Name: | Closeout Contact Name: |
| 5R01NS000001-13 | FINN, HUCK | DOE, JANE |
| Project Period: | Closeout Status: | Closeout Contact Email: |
| 07/01/2005 to 03/31/2011 | Requires Closeout | JaneDoe@email.com |
| Proposal Title: | Date Of Status Change: | Closeout Contact Phone: |
| Scientific Research Study that will Change the World | 03/31/2011 | 301-555-1111 |

Manage Inventions

3. Select the **Yes** button.

The *Add Invention* screen opens. From this screen, SOs and PIs may perform the following actions:

4. To add a new invention:
 - a. Fill in the required fields.
 - **Title of Invention**
 - **Name of Inventor**
 - **Date Reported to DHHS**
 - b. Select the **Add Invention** button.

The added invention displays in the **Saved Invention** section of the screen.

5. Repeat the steps above to add all of your project's inventions.

6. *Optional:* If you need to remove an invention, you can do so by selecting the **Remove** link in the **Action** column under the **Saved Invention** section.

Add Invention ? Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
Proposal Title: Scientific Research Study that Will Change the World

Add New Invention * indicates required fields

Title of Invention *
Name of Inventor * Date Reported to DHHS * (MM/DD/YYYY)
(Must be Today's date or Before)

Saved Invention

| Name of Inventor | Title of Invention | Date Reported to DHHS | Action |
|------------------|--------------------|-----------------------|------------------------|
| Huck Finn | My Invention | 09/17/2013 | Remove |

Add Invention ? « Return to Search Results

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK Closeout Contact Name: DOE, JANE
Project Period: 07/01/2005 to 03/31/2011 Closeout Status: Requires Closeout Closeout Contact Email: JaneDoe@email.com
Proposal Title: Scientific Research Study that will Change the World Date Of Status Change: 03/31/2011 Closeout Contact Phone: 301-555-1111

Add New Inventions * indicates required fields

Title of Invention * Name of Inventor * Date Reported to DHHS *
(Must be Today's date or Before)

mm/dd/yyyy

Saved Invention

| Name of Inventor | Title of Invention | Date Reported to DHHS | Action |
|------------------|--------------------|-----------------------|------------------------|
| Huck Finn | My Invention | 01/01/2016 | Remove |

7. Select the **Save** button.

In a separate window, a certification statement displays.

I hereby certify that, to the best of my knowledge and belief, all inventions are listed which were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period. Further, this report does not in any way relieve our obligation to promptly and fully report all inventions directly to the National Institutes of Health, as required by the terms of the grant or award.

If you are a PI saving an invention, you will also see the following statement added to the certification message:

Note that a user with the SO privilege must verify the Final Invention Statement prior to submission.

8. Select the **OK** button to continue.

You can select **Cancel** if you have made a mistake and need to return to the *Submit Final Invention Statement* screen.

When you save the report, the status of the FIS updates depending on whether you are an SO or a PI.

- Status = Saved (if SO) or Awaiting SO Verification (if PI)
- Result of Actions = Submitted by <your name>
- Date = Current date/date you saved the information
- Action = **Process Final Invention Statement** link

The SO must verify and submit the FIS. [Refer to the section of this document titled *Submitting Your FIS on Page 168* for more information.](#)

Closeout Status

Form Approved OMB No. 0925-0002

Application Information

Grant Number: SR01NS000001-13 PD/PI Name: FINN, HUCK
Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
Proposal Title: Scientific Research Study that Will Change the World

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------|----------------------------------|------------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | Create New |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | Not Received | | | Process Final Progress Report |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Saved | Submitted by BECKY THATCHER (SO) | 06/17/2013 | Process Final Invention Statement |

Back

12.11.2.2 Claiming No Inventions on Your FIS

IMPORTANT: eRA has recently updated the Closeout screens for PIs (and delegates) based on our new standards. SOs will see similar changes in a future release. Refer to the appropriate steps and images provided for your eRA Commons role.

If you hold an SO or PI role, you can create a Final Invention Report indicating no inventions.

To create a Final Invention Statement certifying that no inventions exist:

1. Select the **Requires Closeout** link for the grant from Status search results.

The *Closeout Status* screen displays. Final Invention Statement is listed in the **Closeout Submission Requirement** column. The **Action** column should include a link for **Process Final Invention Statement**.

2. Select the **Process Final Invention Statement** link.

Closeout Status ?
Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------|-------------------|------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | Create New |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | Not Received | | | Process Final Progress Report |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Not Received | | | Process Final Invention Statement |

[Back](#)

« Return to Search Results

Closeout Status ?

Application Information

| | | |
|--|--|---|
| Grant Number: 5R01NS000001-13 | PD/PI Name: FINN, HUCK | Closeout Contact Name: DOE, JANE |
| Project Period: 07/01/2005 to 03/31/2011 | Closeout Status: Requires Closeout | Closeout Contact Email: JaneDoe@email.com |
| Proposal Title: Scientific Research Study that will Change the World | Date Of Status Change: 03/31/2011 | Closeout Contact Phone: 301-555-1111 |

Closeout Submission Requirement

| Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------|---|--------------|-------------------|------------|---|
| FFR | For FFR submission, you must have the Commons FSR role. You must have FSR role to view the document. | Accepted | Accepted by (FSR) | 09/12/2011 | |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report. | Not Received | | | Process Final Progress Report |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution. | Not Received | | | Process Final Invention Statement |

The *Submit Final Invention Statement* screen displays.

3. Select the **No** button.

Form Approved OMB No. 0925-0002

Submit Final Invention Statement ?

Application Information

| | |
|--|---|
| Grant Number: 5R01NS000001-13 | PD/PI Name: FINN, HUCK |
| Closeout Contact Name: JANE DOE | Closeout Contact Email: JaneDoe@email.com |
| Closeout Contact Phone: 301-555-1111 | Project Period: 03/01/2010 to 12/31/2012 |
| Proposal Title: Scientific Research Study that Will Change the World | |

To process a Final Invention Statement (HHS Form 568), the individual performing the initial submission—whether that person is the Program Director/Principal Investigator (PD/PI) on the grant or a Signing Official (SO)—at the institution must determine whether inventions are to be reported. If inventions are reported, the specific inventions must be listed. Following this process, the SO should review the report identified by the "View Invention Statement" link and, if acceptable, Submit the Final Invention Statement to HHS for that grant.

« Return to Search Results

Submit Final Invention Statement ?

| Application Information | | |
|--|--|---|
| Grant Number: 5R01NS000001-13 | PD/PI Name: FINN, HUCK | Closeout Contact Name: DOE, JANE |
| Project Period: 07/01/2005 to 03/31/2011 | Closeout Status: Requires Closeout | Closeout Contact Email: JaneDoe@email.com |
| Proposal Title: Scientific Research Study that will Change the World | Date Of Status Change: 03/31/2011 | Closeout Contact Phone: 301-555-1111 |

Manage Inventions

| | | |
|-----|----|--------|
| Yes | No | Cancel |
|-----|----|--------|

In a separate window, a certification statement displays.

I hereby certify that, to the best of my knowledge and belief, no inventions were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period.

4. Select the **OK** button to confirm.

You can select **Cancel** if you have made a mistake and need to return to the *Submit Final Invention Statement* screen.

When you save your FIS, the *Closeout Status* screen will update to show the following:

- Status = Saved
- Result of Actions = Submitted by <your name>
- Action = **Process Final Invention Statement** link


The SO must verify and submit the FIS. [Refer to the section of this document titled *Submitting Your FIS on Page 168*](#) for more information.

12.11.2.3 Updating Your Saved FIS

If you hold an SO role, you can change a saved Final Invention Statement to add invention(s) or to change the certification.

To change your FIS:

1. Select the **Process Final Invention Statement** link from *Closeout Status*.

Closeout Status  Form Approved OMB No. 0925-0002

Application Information


Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------|-------------------|------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | Create New |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | Not Received | | | Process Final Progress Report |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Not Received | | | Process Final Invention Statement |

[Back](#)

The *Submit Final Invention Statement* screen displays. The options available on this screen include:

- **View Invention Statement** (<inventions reported> -or- <no inventions reported>) link
- **Submit** (only if you have an SO role)
- **Change**
- **Cancel**

Submit Final Invention Statement  Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

[View Invention Statement](#) (Inventions reported)

[Submit](#) [Change](#) [Cancel](#)

5. To change your FIS, select the **Change** button.

When **Change** is selected, you have the option to re-select **Yes** or **No** to indicate whether inventions are being reported. Select the **No** button if you wish to certify that no inventions are being reported. Otherwise, follow the next steps to update your saved inventions on the FIS.

6. To update the inventions on your FIS, select the **Yes** button.


The *Add Invention* screen displays. From here, you can add another invention or remove saved inventions. [Refer to the section of this document titled *Reporting Inventions on Your FIS* on Page 160.](#)

12.11.2.4 Submitting Your FIS

If you hold an SO role, you may submit a Final Invention Statement.

To submit the FIS:

1. Select the **Process Final Invention Statement** link from the *Closeout Status* screen.

Closeout Status  Form Approved OMB No. 0925-0002

Application Information


Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------|-------------------|------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | Create New |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | Not Received | | | Process Final Progress Report |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Not Received | | | Process Final Invention Statement |

[Back](#)

The *Submit Final Invention Statement* screen displays. As an SO, your options include:

- **View Invention Statement** (<inventions reported> -or- <no inventions reported>)
- **Submit** (available only to SO role)
- **Change**
- **Cancel**

Submit Final Invention Statement  Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
 Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
 Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
 Proposal Title: Scientific Research Study that Will Change the World

[View Invention Statement \(Inventions reported\)](#)

[Submit](#) [Change](#) [Cancel](#)

2. Select the **View Invention Statement** link to look the FIS over and verify its accuracy. The report will open in a separate window as a PDF document.
3. Select the **Submit** button.

In a separate window, a certification statement displays.

I hereby certify that, to the best of my knowledge and belief, all inventions are listed which were conceived or first actually reduced to practice during the course of work under the referenced DHHS grant or award for the specified period. Further, this report does not in any way relieve our obligation to promptly and fully report all inventions directly to the National Institutes of Health, as required by the terms of the grant or award.

4. Select the **OK** button to confirm and continue.

Once you have submitted the report, you cannot update it. If you need to hold off on submission, you can select **Cancel** to return to the *Submit Final Invention Statement* screen.

Once you've submitted the FIS, the status details update as follows:

- Status = Received
- Result of Actions = Verified by <your name>
- Date = Current date/date you submitted the report
- Action = **View** link

The FIS is now available to view using the **View** link on *Closeout Status*. It can also be viewed from the *Status Information* screen for the grant.

Closeout Status

Form Approved OMB No. 0925-0002

Application Information

Grant Number: 5R01NS000001-13 PD/PI Name: FINN, HUCK
Closeout Contact Name: JANE DOE Closeout Contact Email: JaneDoe@email.com
Closeout Contact Phone: 301-555-1111 Project Period: 03/01/2010 to 12/31/2012
Proposal Title: Scientific Research Study that Will Change the World

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------|---------------------------------|------------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | Create New |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | Not Received | | | Process Final Progress Report |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Received | Verified by BECKY THATCHER (SO) | 06/17/2013 | View |

Back

12.11.3 Submitting Your Final Research Performance Progress Report

As of January 1, 2017, a *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See [NIH Implementation of Final Research Performance Progress Reports \(Final RPPR\)](#) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a *Final Research Performance Progress Report* (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See [NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration](#) (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The *Interim RPPR* link will be made available to the Signing Official (SO) in the Status screen when a grant is eligible for submission of a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the *Process Final RPPR* link only appears on the [Closeout Status](#) screen.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR.

Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the Participants section
- Sections F: Changes and Section H: Budget are not part of the Interim/Final RPPR
- Section I: Outcomes is new. Section I is required for both the Interim/Final RPPR

To submit your Final RPPR:

1. Select the **Requires Closeout** link for the grant from *Status search* results.

The [Closeout Status](#) screen displays. Final RPPR is listed in the *Closeout Submission Requirement* column. The *Action* column should include a link for **Process Final RPPR**.

2. From Closeout Status, select the **Process Final RPPR** link.

Clicking the **Process Final RPPR** link opens the *Final RPPR Menu* screen:

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Kirk, Tiberius J |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | |
| Status: | Not Started |

Initiate Edit Check for Errors View View Routing History Route Recall Submit Cancel

3. Click the Initiate button to create the Final RPPR.

The Final RPPR Menu will then change, providing the user with the option to Edit the Final RPPR:

Final RPPR Menu ?
The RPPR has been successfully initiated.

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Kirk, Tiberius J |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | McCoy, Leonard B |
| Status: | PD/PI Work in Progress |

4. Clicking **Edit** opens the navigation to the various sections of the Final RPPR:

A Cover Page | B Accomplishments | C Products | D Participants | E Impact | G Special Reporting Req | I Outcomes

A. Cover Page ?

Save Cancel

| Grant Information | A.4 Recipient Organization Information |
|---|--|
| Grant Number: 5R21HL123456-02 | Organization Name: STARFLEET ACADEMY, MEDICAL RESEARCH |
| Project Title: Andronesian Encephalitis Can Lead to Genetic Degeneration | Address: STARFLEET ACADEMY, MEDICAL RESEARCH 1 WARP SPEED DRIVE SAN FRANCISCO CA 09876 |
| A.1 Program Director/Principal Investigator (PD/PI) Information ? | |
| Name: Kirk, Tiberius J | DUNS: 987654321 |
| E-mail: lamKirok@sfa.ea.edu | EIN: 1234567890A1 |
| Phone: (111) 555-1701 | Recipient ID: ? |
| A.1.a | |
| Is there a change of contact PD/PI on a multiple-PI award? <input checked="" type="radio"/> N/A <input type="radio"/> Yes <input type="radio"/> No | |
| If yes, provide the eRA Commons ID of the new contact PD/PI ? | |
| A.1.b Not Applicable | |
| A.2 Signing Official Information | |
| Name: <input type="text"/> | |
| E-mail: <input type="text"/> | |
| Phone: <input type="text"/> | |
| A.3 Administrative Official Information | |
| Name: <input type="text"/> | |
| E-mail: <input type="text"/> | |
| Phone: <input type="text"/> | |
| Project/Grant Period | |
| Start Date: 08/15/2011 | End Date: 05/31/2013 |
| Reporting Period | |
| Start Date: 06/01/2012 | End Date: 05/31/2013 |
| Requested Budget Period | |
| Start Date: 06/01/2012 | End Date: 05/31/2013 |
| Report Frequency: Annual | Other Frequency: <input type="text"/> |

Save Cancel A Cover Page | B Accomplishments | C Products | D Participants | E Impact | G Special Reporting Req | I Outcomes

5. Complete each section as required. See [How to Do I Fill Out the RPPR Forms](#) for help completing each section.

Be sure to click **SAVE** when moving between sections or unsaved data may be lost.

When done, click **Cancel** to return *Final RPPR Menu* screen.

In the *Final RPPR Menu* screen, there are several action buttons at the bottom that you can use to complete the Final RPPR:

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Kirk, Tiberius J |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | Boyd, Stacey |
| Status: | PD/PI Work in Progress |

Buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, Cancel

For more information on these options, see:

[Editing the RPPR Forms](#)

[Checking for Errors and Warnings](#)

[Viewing the RPPR](#)

[Routing the RPPR](#)

[Recalling the RPPR](#)

[Submitting RPPR to Agency](#)

The **Cancel** button closes the *Final RPPR Menu* screen.

12.11.3.1 Final Progress Report Additional Materials (FRAM)

A *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. This report should be prepared in accordance with instructions provided by the awarding component.

NOTE: Refer to the topic titled [Submitting Your Final Research Performance Progress Report on Page 276](#) for information related to the Final RPPR.

The *Final Progress Report Additional Materials* (FRAM) feature provides a means for grantees to enter, review, route, and submit information in response to specific request(s) by the Program Official (PO) for additional information related to the Final RPPR.

While reviewing a submitted Final RPPR, the PO may determine that additional materials related to the submitted report are required. In this case, the PO will submit a request for this information referred to as a FRAM request. When a FRAM request is made, the PI is notified via email; Final RPPR status on *Closeout Status* is updated to *FRAM Requested*; and a **FRAM Update** link appears in the *Closeout Status* screen. The link is located as an action on the **Final RPP Report** line for **Closeout Submission Requirement**.

This topic discusses the steps for uploading, viewing, and submitting FRAM.

Uploading Final Report Additional Materials

When FRAM is requested by the reviewing PO, an email notification will be sent to the PI (and SO) describing the additional information being requested. It is the PI who is responsible for uploading this requested FRAM via the Closeout module in Commons.

To upload FRAM:

1. Navigate to the [Closeout Status](#) screen.
2. Locate the **Final RPPR** line item under the **Closeout Submission Requirement** column.

If a PO has requested additional material related to the Final RPPR, the **Status** will show *FRAM Requested*, the **Result of Action** column will show *FRAM Requested By <PO Name>*, and the **FRAM Update** link will appear in the **Action** column of this line item. If this information is not there, the request was not made.

3. Select the **FRAM Update** link.

Closeout Status ?

Form Approved OMB No. 0925-0002

Application Information

Grant Number: 1R15MH123456-01

PD/PI Name: AUDEN, W.H.

Closeout Contact Name: EMMA STREST

Closeout Contact Email:

Closeout Contact Phone: 301-555-1234

Project Period: 08/01/2010 to 10/31/2014

Proposal Title: The Age of Anxiety Disorders

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------------------------|------------------------------|------------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | FPR Received FRAM Requested | Submitted by W.H. AUDEN (PI) | 09/18/2014 | View FRAM Update |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Not Received | | | Process Final Invention Statement |

Back

The *Final Progress Report Additional Materials (FRAM)* screen appears. From this screen, the PI has the ability to upload an attachment meeting the requirements of the requested information.

Tip: You can view the original request for information from the *Status Information* screen. The **Closeout Final Report Additional Materials Request (FRAM)** link located in **Other Relevant Documents** section of *Status Information* will show the original request.

4. Use the **Add Attachment** button to search for and select the appropriate document from your local computer. The attached document must be in PDF format and no larger than 6MB.

Final Progress Report Additional Materials (FRAM) ?

Grant Information

Grant Number: 1R15MH123456-01
PD/PI Name: Auden, W.H.
Project Title: The Age of Anxiety Disorders
Institution: UNIVERSITY OF LITERATURE

FRAM

Please provide additional Materials

Upload Attachment: **Add Attachment** Delete Attachment View Attachment

View Submit Back

After passing system validations, the screen will display a message as follows: *FRAM was successfully uploaded and is ready for processing by the SO in your institution.*

FRAM attachments can be viewed at any time using the **View Attachment** or **View** button on the screen. Before being submitted to Agency, FRAM attachments can be deleted using the **Delete Attachment** button.

Final Progress Report Additional Materials (FRAM) ?

FRAM was successfully uploaded and is ready for processing by the SO in your institution.

| Grant Information | |
|-------------------|------------------------------|
| Grant Number: | 1R15MH123456-01 |
| PD/PI Name: | Auden, W.H. |
| Project Title: | The Age of Anxiety Disorders |
| Institution: | UNIVERSITY OF LITERATURE |

Please provide additional Materials

Upload Attachment: [Sample Document.pdf](#) [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

[View](#) [Submit](#) [Back](#)

When FRAM is attached, the *Closeout Status* screen updates to show *FRAM Updated* in the **Status** column and *FRAM Updated By* <PI Name> in the **Result of Action** column. You will notice that the **FRAM Update** link remains as an available action. Attachments for additional requests can be uploaded using this link and following the same steps described above. Subsequent uploads will be appended in the stored PDF document viewable in Status Information.

Closeout Status ? Form Approved OMB No. 0925-0002

| Application Information | | | | | |
|-------------------------|------------------------------|-------------------------|--------------------------|--|--|
| Grant Number: | 1R15MH123456-01 | PD/PI Name: | AUDEN, W.H. | | |
| Closeout Contact Name: | EMMA STREST | Closeout Contact Email: | | | |
| Closeout Contact Phone: | 301-555-1234 | Project Period: | 08/01/2010 to 10/31/2014 | | |
| Proposal Title: | The Age of Anxiety Disorders | | | | |

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|--------------------------------------|---|--------------------------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | FPR Received FRAM Uploaded | Submitted by AUDEN, W.H. (PI) FRAM Uploaded by Auden, W.H. (PI) | 09/18/2014 10/02/2014 | View FRAM Update |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Not Received | | | Process Final Invention Statement |

[Back](#)

The SO is now able to submit FRAM. Refer to the steps in the section titled [Submitting FRAM](#) for details on how an SO submits FRAM to Agency.

IMPORTANT: Please note that after the SO submits FRAM, the **FRAM Update** link on *Closeout Status* will be replaced by the **View FRAM** link and updates can no longer be made.

Submitting FRAM

Once a response to a FRAM request has been uploaded by the PI using the *Final Progress Report Additional Materials (FRAM)* screen, the SO can submit the material to Agency. Only those with

an SO role in Commons can submit FRAM.

To submit FRAM:

1. Navigate to the *Closeout Status* screen for the specific grant.
2. Locate the Final Research Performance Progress Report line item under the **Closeout Submission Requirement** column.

If the PI has uploaded the additional material successfully, the **Result of Action** column will show *FRAM Updated By <PI Name>*. The **FRAM Update** link will appear in the **Action** column of this line item.

3. Select the **FRAM Update** link.

The screenshot shows the 'Closeout Status' screen with a header bar containing a question mark icon and the text 'Form Approved OMB No. 0925-0002'. Below the header is a section titled 'Application Information' with the following details:

- Grant Number: 1R15MH123456-01
- PD/PI Name: AUDEN, W.H.
- Closeout Contact Name: EMMA STREST
- Closeout Contact Email:
- Closeout Contact Phone: 301-555-1234
- Project Period: 08/01/2010 to 10/31/2014
- Proposal Title: The Age of Anxiety Disorders

Below this information is a table with the following columns: Closeout Submission Requirement, Instruction, Status, Result of Actions, Date, and Action.

| Closeout Submission Requirement | Instruction | Status | Result of Actions | Date | Action |
|---------------------------------|--|---------------|-----------------------------------|------------|---|
| FFR / FSR | For FFR / FSR submission, you must have the Commons FSR role | Not Started | | | |
| Final Progress Report | Only the SO or the PI of the Grant may process the Final Progress Report | FPR Received | Submitted by AUDEN, W.H. (PI) | 09/18/2014 | View |
| | | FRAM Uploaded | FRAM Uploaded by Auden, W.H. (PI) | 10/02/2014 | FRAM Update |
| Final Invention Statement | For Submission, Final Invention Statement requires verification by the Signing Official of the Institution | Not Received | | | Process Final Invention Statement |

At the bottom left of the table is a 'Back' button.

The *Final Progress Report Additional Materials (FRAM)* screen appears with the **Submit** button enabled.

4. *Optional:* To view the FRAM response before submitting it, select the **View Attachment** button.

5. To submit the FRAM, select the **Submit** button.

Final Progress Report Additional Materials (FRAM) ?

Grant Information

Grant Number: 1R15MH123456-01
PD/PI Name: Auden, W.H.
Project Title: The Age of Anxiety Disorders
Institution: UNIVERSITY OF LITERATURE

FRAM

Please provide additional Materials

Upload Attachment: Sample Document.pdf Add Attachment Delete Attachment View Attachment

View Submit Back

6. Before the submission is completed, a certification message will appear on the screen. Select the **I Agree** button to confirm this certification and to complete the process.

Submit FRAM to Agency

In submitting these Final Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

Application Information

Grant Number: 1R15MH123456-01
Institution: UNIVERSITY OF LITERATURE
PD/PI Name: Auden, W.H.
Project Title: The Age of Anxiety Disorders

I Agree Cancel

After a successful submission, the screen will display a message as follows: *The final progress report additional materials have been successfully submitted to Agency.* The **Closeout Status** screen will show *FRAM Submitted By <SO Name>* in the **Result of Action** column, and the **FRAM Update** link available before the submission is replaced by the **View FRAM** link. FRAM cannot be edited after submission to Agency.

Final Progress Report Additional Materials (FRAM) ?

The final progress report additional materials have been successfully submitted to Agency.

Grant Information

Grant Number: 1R15MH123456-01
PD/PI Name: Auden, W.H.
Project Title: The Age of Anxiety Disorders
Institution: UNIVERSITY OF LITERATURE

FRAM

Please provide additional Materials

Upload Attachment:

Additionally, email notification is sent to both the SO who submitted the FRAM and to the PI of the grant. A separate notification is sent to the PO of the grant. Commons will generate a PDF document containing all documents adding for the FRAM request. This document can be accessed within the *Status Information* screen under **Other Relevant Documents**.

NOTE: The PO may rescind the approval of the Final RPPR submission at any time. If this event occurs, the **FRAM Update** link will be made available for submitting FRAM.

IMPORTANT: SOs can continue to add additional attachments even after submission to Agency (before acceptance of the FPR). Any subsequent documents will be added to the PDF generated by Commons.

12.12 Just in Time (JIT)

The JIT feature of the eRA Commons allows the electronic submittal of additional grant application information after the completion of the peer review, and prior to funding. The PD/PI and the SO work together to complete and submit Other Support, Budget, IACUC, IRB, and/or Human Subject Assurances information directly to the NIH when that information is requested.

NOTE: If you have the PI role, you may upload and save JIT information; however, you must be an SO to submit it to NIH.

The JIT feature is available for applications meeting established business criteria. In general this feature becomes available for applications that fall within a certain percentile or priority score range; *however, applicants should not submit any JIT information until specifically requested by the agency*. These requests can be eRA-system generated e-mails or contacts directly from the specific awarding agency via email and/or phone.

NOTE: All JIT attachments should be submitted in PDF format with a maximum size of 6MB.

Policy: JIT policy information also is available online. Look for the *Just-in-Time* section of the [NIH Grants Policy Statement](#).

In Commons, the *Just In Time* screen is accessible from each of the following:

- **JIT** link on *Status Result - Just In Time* (SO)
- **JIT** link on *Status Result - General Search* (SO)
- **JIT** link on *Status Result - List of Applications/Grants* (PI)

IMPORTANT: The JIT screen for PIs and PI delegates has recently been updated to reflect eRA's new standards. eRA plans to update the SO's screen in a future release. Please refer to the appropriate steps below, based on your Commons role.

12.12.1 Uploading JIT Information as a PI

As a PI, you have the ability to upload and save JIT information.

To upload JIT files:

1. Access the *Just in Time* screen through the **JIT** link on the Status result screen(s) **Action** column.

NOTE: The **JIT** link is removed once an application has been awarded.

The *Just in Time* screen displays. The **Application Information** section can be used to verify that information for the correct application is being submitted.

Just In Time

Just in Time (JIT) allows the Principal Investigator (PI) or Signing Official (SO) to provide *Other Support*, *Budget Upload*, *Other Upload*, *IACUC*, *IRB*, and *Human Subject Assurances* Just In Time information directly to the NIH when that information is requested. Guidance follows:

- Although a PI may save this information through Commons, only an SO may submit it to NIH.
- Any element of the JIT form may be submitted at different times while the JIT link is available.
- Once the information has been submitted to the NIH, it will be available for viewing in Status in the Other Relevant Documents section.
- 'Number of Submission' provides the user with the number of times the JIT form was submitted to Agency.
- All elements on the JIT form can be submitted multiple times and will be appended to the JIT report, with the latest version at the top of the report.
- If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this 'Just in Time' page.

Application Information

Grant Number: 1R01CA000001-01
PI Name: JOYCE, JAMES
Proposal Title: Portrait of the Artist as aYoung Man Through Adulthood

Please provide active and pending support for all key personnel. **Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards.** Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at Other Support and upload the document using the Upload button provided below. Alternatively, you can drag and drop a file unto the respective panel. Please note that when you upload a document it is automatically attached to your application.

Other Support File

File Name:
None
Date Created:
None
Number of Submissions:
0

 Upload  Delete

Budget Upload

File Name:
None
Date Created:
None
Number of Submissions:
0

 Upload  Delete

Other Upload

File Name:
None
Date Created:
None
Number of Submissions:
0

 Upload  Delete

IRB Date:  **Number of Submissions:** **1**

Your Institution must certify to NIH that the research described in this application has received Institutional Review Board (IRB) approval by an IRB registered at OHRP under your Human Subjects Assurance Number. If the required IRB approval has been obtained, enter the IRB approval date. By specifying a Date and saving this form, you certify that you have IRB approval for this research. Please select the correct OHRP Human Subjects Assurance Number from the list of numbers associated with your Institution:

Human Subject Education. This document is required for key personnel (all individuals responsible for the design and conduct of the study) that are involved in human subject research. Please upload a PDF file that includes the following:

- The names of the key personnel who are responsible for the design and conduct of the study
- The title of the education program completed by each named person plus a brief description of the program

Note: If research meeting the criteria for Exemption 4 is proposed, documentation is recommended, but not required.

Human Subject Education

File Name:
None
Date Created:
None
Number of Submissions:
0

 Upload  Delete

Genome Data Sharing Certification. An Institutional Certification is expected prior to funding award for all research generating large-scale human genomic data under the NIH Genomic Data Sharing Policy. The Institutional Certification is a document from the authorized Institutional Signing Official of the institution submitting the data, and assures that the data submission and sharing is appropriate (see Certifications for templates). If a final Institutional Certification is not available at Just-In-Time, you may submit a provisional Institutional Certification along with other Just-In-Time documents. A final version of the Institutional Certification may be uploaded in the "Additional Information" section of your grant folder at a later date. You should keep Program Staff of the funding IC informed of the expected date of submission of the final Institutional Certification.

Genome Data Sharing Certification

File Name:
None
Date Created:
None
Number of Submissions:
0

 Upload  Delete

2. Upload the appropriate file types.
 - **Other Support File**
 - **Budget Upload**
 - **Other Upload**
 - **Human Subject Education**
 - **Genome Data Sharing Certification**

Other Support is always available. If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this *Just-in-Time* screen.

It is requested that active and pending support for all key personnel be provided. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide Other Support information, follow the suggested format available at <http://grants1.nih.gov/grants/funding/phs398/othersupport.doc> and upload the document using the **Upload** button provided.

- a. Select the **Upload** button for the appropriate type of file to open the corresponding upload file screen.

-OR-

- b. Drag and drop the file from your file directory into the appropriate section of the JIT screen.

The panel shows an Upload Complete message. The panel also displays the name of the file and the date it was uploaded.

Please provide active and pending support for all key personnel. **Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards.** Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at [Other Support](#) and upload the document using the Upload button provided below. Alternatively, you can drag and drop a file unto the respective panel. Please note that when you upload a document it is automatically attached to your application.

| | | |
|---|--|---|
| <div><div>Other Support File</div><div>✓ Upload Complete.</div><div>File Name: Sample Document.pdf Date Created: 01/25/2016 Number of Submissions: 0</div><div><div>Upload</div><div>Delete</div></div></div> | <div><div>Budget Upload</div><div>✓ Upload Complete.</div><div>File Name: Sample2 Doc.pdf Date Created: 01/25/2016 Number of Submissions: 0</div><div><div>Upload</div><div>Delete</div></div></div> | <div><div>Other Upload</div><div>File Name: None Date Created: None Number of Submissions: 0</div><div><div>Upload</div><div>Delete</div></div></div> |
|---|--|---|

3. Enter IRB information as appropriate:

- **IRB Date**
- **Assurance Number**

4. Select the **Save** button.

After saving the information, a confirmation message displays indicating that the information was saved and that a user with the required authority must still submit the information. Only an SO can submit JIT.

NOTE: Commons performs validations upon saving. If required information is missing, error messages will appear on the screen to guide you.

12.12.2 Uploading Saving JIT as an SO

SO users have the ability to upload and save JIT information.

To upload JIT files:

1. Access the *Just in Time* screen through the appropriate **JIT** link on the Status result screen(s) **Action** column.
 - [Status Result - Just In Time](#) (SO)
 - [Status Result - General Search](#) (SO)

NOTE: The **JIT** link is removed once an application has been awarded.

The *Just in Time* screen displays. The **Application Information** section can be used to verify that information for the correct application is being submitted.

Just In Time

Just in Time (JIT) allows the Principal Investigator (PI) or Signing Official (SO) to provide *Other Support, Budget Upload, Other Upload, IACUC, IRB, and Human Subject Assurances Just In Time* information directly to the NIH when that information is requested. Guidance follows:

- Although a PI may save this information through Commons, only an SO may submit it to NIH.
- Any element of the JIT form may be submitted at different times while the JIT link is available.
- Once the information has been submitted to the NIH, it will be available for viewing in Status in the Other Relevant Documents section.
- 'Number of Submission' provides the user with the number of times the JIT form was submitted to Agency.
- All elements on the JIT form can be submitted multiple times and will be appended to the JIT report, with the latest version at the top of the report.
- If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this 'Just in Time' page.

| Application Information | | | | | |
|-------------------------|---|--|--|--|--|
| Grant Number: | 1R01CA000001-01 | | | | |
| PI Name: | JOYCE, JAMES | | | | |
| Proposal Title: | Portrait of the Artist as a Young Man through Adulthood | | | | |

Please provide active and pending support for all key personnel. **Other Support** includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at <http://grants1.nih.gov/grants/funding/phs398/othersupport.doc> and upload the document using the Import button provided below.

| Files | File Name | Date Created | Status | Number of Submissions |
|---------------------|-----------|--------------|--------------|---------------------------------------|
| Other Support File: | | | NOT UPLOADED | <input type="button" value="Import"/> |
| Budget Upload: | | | NOT UPLOADED | <input type="button" value="Import"/> |
| Other Upload: | | | NOT UPLOADED | <input type="button" value="Import"/> |

IRB Date in MM/DD/YYYY format: (MM/DD/YYYY) **Number of Submissions** 1

Your Institution must certify to NIH that the research described in this application has received Institutional Review Board (IRB) approval by an IRB registered at OHRP under your Human Subjects Assurance Number. If the required IRB approval has been obtained, enter the IRB approval date. By specifying a Date and saving this form, you certify that you have IRB approval for this research. Please select the correct OHRP Human Subjects Assurance Number from the list of numbers associated with your Institution: Please select one number

Human Subject Education. This document is required for key personnel (all individuals responsible for the design and conduct of the study) that are involved in human subject research. Please upload a PDF file that includes the following: the names of the key personnel who are responsible for the design and conduct of the study; the title of the education program completed by each named person plus a brief description of the program. Note: If research meeting the criteria for Exemption 4 is proposed, documentation is recommended, but not required.

| Files | File Name | Date Created | Status | Number of Submissions |
|--------------------------|-----------|--------------|--------------|---------------------------------------|
| Human Subject Education: | | | NOT UPLOADED | <input type="button" value="Import"/> |

Genome Data Sharing Certification. An Institutional Certification is expected prior to funding award for all research generating large-scale human genomic data under the NIH Genomic Data Sharing Policy (<http://gds.nih.gov/03policy2.html>). The Institutional Certification is a document from the authorized Institutional Signing Official of the institution submitting the data, and assures that the data submission and sharing is appropriate (see http://gds.nih.gov/institutional_certifications.html for templates). If a final Institutional Certification is not available at Just-In-Time, you may submit a provisional Institutional Certification along with other Just-In-Time documents. A final version of the Institutional Certification may be uploaded in the "Additional Information" section of your grant folder at a later date. You should keep Program Staff of the funding IC informed of the expected date of submission of the final Institutional Certification.

| Files | File Name | Date Created | Status | Number of Submissions |
|------------------------------------|-----------|--------------|--------------|---------------------------------------|
| Genome Data Sharing Certification: | | | NOT UPLOADED | <input type="button" value="Import"/> |

2. Upload the appropriate file types:

- **Other Support File**
- **Budget Upload**
- **Other Upload**
- **Human Subject Education**
- **Genome Data Sharing Certification**

Other Support is always available. If the application involves care and use of vertebrate animals or involves Human Subjects, verification of the date of the respective IACUC or IRB approval is required on this *Just-in-Time* screen.

It is requested that active and pending support for all key personnel be provided. Other Support includes all financial resources, whether Federal, non-Federal, commercial or

institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide Other Support information, follow the suggested format available at <http://grants1.nih.gov/grants/funding/phs398/othersupport.doc> and upload the document using the **Import** button provided.

- Select the **Upload** button for the appropriate type of file to open the corresponding upload file screen.
- From the upload screens, select the **Choose File** button to search for and select the file to upload.
- Select the **Upload File** button.

The uploaded file displays under the **File Name** column with a status of *Completed*.

| Files | File Name | Date Created | Status | Number of Submissions |
|---------------------|---------------------|--------------|--------------|-----------------------|
| Other Support File: | Sample Document.pdf | 08/05/2013 | COMPLETED | 1 |
| Budget Upload: | | | NOT UPLOADED | |
| Other Upload: | | | NOT UPLOADED | |

IACUC Date in MM/DD/YYYY format: (MM/DD/YYYY) Number of Submissions: 1

The institution must verify approval by the Institutional Animal Care and Use Committee (IACUC) of those components of the application related to the care and use of animals. By specifying a date and saving this form you confirm that IACUC approval of this application was granted on that date. If the IACUC required any modifications in the care or use of animals as described in the Research Plan, those changes must be submitted to the appropriate NIH Grants Management office. The OLAW Assurance Number listed for your Institution is A3033-01.

- Enter IRB information as appropriate:

- IRB Date**
- Assurance Number**

- Select the **Save** button.

After saving the information, a confirmation message displays indicating that the information was saved and that a user with the required authority must still submit the information.

If you are an SO, the **Submit** button is enabled at this time, and you can [submit the information to NIH](#).

NOTE: Commons performs validations upon saving. If required information is missing, error messages will appear on the screen to guide you.

12.12.3 Submitting JIT Information To Agency

If you hold the SO role, you have the ability to submit the JIT report. Only SO users can submit JIT.

To submit JIT:

1. Access the *Just In Time* screen for the appropriate application.
2. *Optional:* If not already uploaded, [upload](#) the appropriate JIT information.
3. *Optional:* Select the **View Just In Time Report** button if you wish to review the report before submitting it.
4. Select the **Submit** button.

The Applicant and Organization Certification and Acceptance message displays as a pop-up.

5. Select the **OK** button to continue.

NOTE: Commons performs validations upon submission. If required information is missing, error messages will appear on the screen to guide you.

Once submitted, the report is available for viewing from within *Status Information*. *Status Information* is accessed by selecting the application ID (displayed as a link) from any of the Status result screens. [Refer to the section of this document titled *Status Information* on Page 138.](#)

You can resubmit JIT information as many times as necessary. Each section of the JIT information can be submitted separately and more than once as long as at least one field element has been completed. After each submission, the *Just In Time* screen displays the **Number of Submissions** for each piece of information.

Please provide active and pending support for all key personnel. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at <http://grants1.nih.gov/grants/funding/ohs388/other-support.doc> and upload the document using the Import button provided below.

| Files | File Name | Date Created | Status | Import | Number of Submissions |
|---------------------|-----------|--------------|--------------|--------|-----------------------|
| Other Support File: | | | NOT UPLOADED | Import | 2 |
| Budget Upload: | | | NOT UPLOADED | Import | 1 |
| Other Upload: | | | NOT UPLOADED | Import | 4 |

IRB Date in MM/DD/YYYY format: (MM/DD/YYYY) **Number of Submissions: 2**

Your Institution must certify to NIH that the research described in this application has received Institutional Review Board (IRB) approval by an IRB registered at OHRP under your Human Subjects Assurance Number. If the required IRB approval has been obtained, enter the IRB approval date. By specifying a Date and saving this form, you certify that you have IRB approval for this research. Please select the correct OHRP Human Subjects Assurance Number from the list of numbers associated with your Institution: Please select one number

When a resubmission has occurred, the Status result screens display the **JIT** link with an indication of the number of times revised.

12.12.4 Viewing the Just In Time Report

If you are an SO or a PI you can view the *Just In Time* report from the JIT screen.

To view the report, select the **View Just In Time Report** button (SOs) or the **View Report** button (PIs) at the bottom of the screen.

If the JIT information has already been submitted to NIH, the *Just In Time* report can be viewed from a link within *Status Information*. The link displays as the date of the last submission plus the number of times submitted and is located under the **Other Relevant Documents** section.

Status Information is accessed by selecting the application ID (displayed as a link) from any of the Status result screens. [Refer to the section of this document titled *Status Information* on Page 138.](#)

Other Relevant Documents ?

- [e-Application](#)
- [Appendix: Appendix i](#)
- [Appendix 2: Appendix ii](#)
- [Appendix 3: Appendix iii](#)
- [Just In Time 06/29/2009 Times Revised\(2\)](#)
- [eSubmission Cover Letter](#)
- [Additions for Review \(0 documents\)](#)

12.13 No-Cost Extension (NCE)

NIH Standard Terms of Award include the provision for grantees to extend the final budget period of a previously approved project period one time for a period of up to 12 months, without additional NIH funds. This action must be taken before the project period ends, and grantees are required to notify NIH when they have exercised this authority.

Policy: [Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Funds](#)

Grantees may extend the final budget period of the project when the following conditions are met:

- If no additional funds are required by the NIH awarding office
- If there will be no change in the project's originally approved scope

In order to mandate an extension, one of the following criteria must be applicable:

- Additional time beyond the established expiration date is required to ensure adequate completion of the originally approved project
- Continuity of NIH grant support is required while a competing continuation application is under review
- The extension is necessary to permit an orderly phase-out of a project that will not receive continued support

NOTE: The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for an extension without additional funds.

To facilitate this process, the No-Cost Extension (NCE) feature exists in Commons, allowing SO users to request NCE in one month increments up to 12 months. Accessible through Status results, the link for accessing the feature is available 90 days before the project end date and is removed at midnight on the project end date.

IMPORTANT: NIH requires grantees to use the No-Cost Extension feature and will not accept notification via any other channels.

To submit a No-Cost Extension:

1. Search for a particular grant using the *Status - General Search* screen.
2. Select the **Extension** link from **Action** column of the appropriate grant on the [Status Result - General Search](#) screen.

The *Extension* screen opens.

3. Select the number of months by which to extend the grant by selecting an option from the **Extend** drop-down list. Selecting an option updates the date in the **This will extend the project to** text box.

In extending the final budget period of the project period, the grantee agrees to update all required certifications, including human subjects and animal welfare, in accordance with applicable regulations and policies.

Grantees may not extend project periods previously extended by the NIH awarding office. Any additional project period extension beyond the one-time extension of up to 12 months requires prior NIH approval.

4. Select the **Extend Project Date** button.

Extension ⓘ

This Grant is eligible to be extended for up to 1 year. Note that only a SO has the ability to perform a project extension and that you may do this only once through the Commons.

| Application Information | |
|-------------------------|--|
| Grant Number: | 5R01EY000002-05 |
| PI Name: | FINCH, ATTICUS |
| Proposal Title: | Study on Genetics and Age-Related Degeneration |

To extend the period, select the number of months for which you would like to extend the project period for this grant.

Project End Date: 8/31/2013

Extend: * 3

This will extend the project to 11/30/2013

Extend Project Date **Cancel**

A confirmation screen displays a message *You selected to extend the project period for this grant for <#> months.*

5. Select the **Confirm** button to continue.

Extension

| Application Information | |
|-------------------------|--|
| Grant Number: | 5R01EY000002-05 |
| PI Name: | FINCH, ATTICUS |
| Proposal Title: | Study on Genetics and Age-Related Degeneration |

You have selected to extend the period of performance of this grant by 3 months.

☒ By notifying NIH of this one-time extension of the period of performance, you certify that the extension is not 1) being exercised merely for the purpose of using unobligated balance, 2) prohibited by the terms and conditions of the Federal award, or 3) requesting additional Federal funds. Further, it does not involve any change in the approved objectives or scope of the project.

Confirm **Cancel**

Upon notification, the NIH awarding office will revise the project period ending date and provide an acknowledgment to the grantee.

NOTE: When an extension without cost is submitted but cannot be processed due to an internal business error, the link displays in Status Result as Extension Error. This link will continue to display until the error has been corrected. Instruction will be given on whom to contact if you need to have the error corrected before resubmitting. Once the error has been corrected, the No Cost Extension will be processed, and the appropriate eNotifications sent.

12.14 Change of Institution

The Change of Institution process in eRA Commons allows extramural grantee institutions to submit Relinquishing Statements electronically via Commons. Relinquishing Statements (RS) are the official documents relinquishing interests and rights to Public Health Service (PHS) research grants and typically accompany a change of institution or successor in interest request.

The *Manage Relinquishing Statement* and *Relinquishing Statement* screens are accessible via the Status module.

For more information, refer to the collection of topics within the Commons Online Help for Change of Institution (http://era.nih.gov/erahelp/commons/default.htm#ChgInst_Overview.htm) or the *Commons Change of Institution User Guide* (http://era.nih.gov/files/ccoi_userguide.pdf).

12 Prior Approval Module

Policy: [See section 2.3.7.2 under "Policies Affecting Applications"](#)

NIH Policy allows grantees a level of discretion when making changes to budgeting or grant-related activities. However, some changes require written prior approval. Users can access the eRA Commons Prior Approval module at: <https://public.era.nih.gov/priorapproval/landing.jsp>.

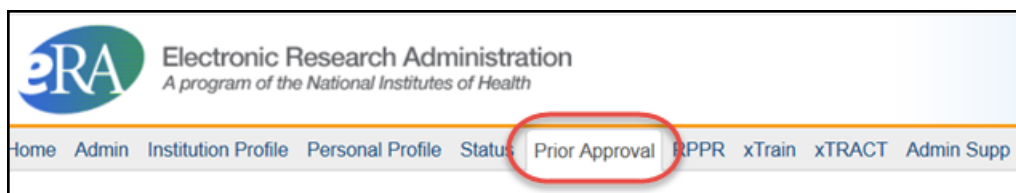
The Prior Approval module allows Principal Investigators (PIs) and Signing Officials (SOs) to [respond to prior approval invitations](#) from the granting agency (see note below) or to [withdraw from successfully submitted grant application](#) that has not yet been awarded.

In addition, SOs may also [request a change of the PD/PI](#) on a grant and request [No Cost Extensions](#) when the grant meets specific conditions.

NOTE: To initiate a \$500K request, please contact your Program Official. (see the [500K](#) section for more detail)

To access the Prior Approval Landing screen:

1. Log in to **eRA Commons**
2. Select the **Prior Approval** tab on the Commons Home screen.



- a. **PIs** will see the option to initiate a *Withdrawal Request*, respond to a *500K invitation*, or to **List My Requests** on the *Prior Approval* landing screens.

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type: Select a request type Withdrawal Request Go

Existing Prior Approval Requests

To view Prior Approvals pending review, please select List My Requests.

List my Requests

- b. **SOs** will see options to initiate a *Withdrawal Request*, *Change of PD/PI*, *No Cost Extension*, *Carryover*, as well as options to list existing requests and to search for requests.

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type: Select a request type No Cost Extension Withdrawal Request Carryover Request Change of PD/PI Request Go

Existing Prior Approval Requests

To view Prior Approvals pending SO review, please select List My Requests.

To search for Prior Approval requests from your institution please select Search for Request.

List my Requests Search for Requests

Please refer to the specific sections for full instructions on the various request options, and general request management .

12.15 List My Requests

Users can utilize **List My Requests** on the *Prior Approval* landing screen to view existing Prior Approval Requests.

List My Requests is available to both PIs and SOs.

The **PI view** of **List My Request** displays all Prior Approval Requests for applications on which the PI is the Contact PI.

The **SO view** of **List My Request** displays all Prior Approval Requests in status *Pending SO* for the institution. If the SO would like to see a Prior Approval that is not in *Pending SO* status, they should use the [Search Prior Approval](#) feature.

1. To access the List My Request list, select **List My Requests** from the *Prior Approval Landing* screen.

Existing Prior Approval Requests **PI**

To view Prior Approvals pending review, please select List My Requests.

[List my Requests](#)

Existing Prior Approval Requests **SO**

To view Prior Approvals pending SO review, please select List My Requests.

To search for Prior Approval requests from your institution please select Search for Request.

[List my Requests](#) [Search for Requests](#)

- The user is taken to the hitlist of Prior Approval requests.

List my Requests **PI View**

Show 10 entries [Back to Prior Approval](#)

| Request ID | Request Type | Prior Approval Status | Application ID | Project Title | Action |
|------------|--------------|-----------------------|------------------|-----------------|--|
| 2040 | Withdrawal | In Progress PI | 1 R01 A123456-01 | Project Title | Modify |
| 2041 | 500K | In Progress SO | 1 R01 A999999-02 | Project Title 2 | View PDF View History |

Showing 1 to 2 of 2 entries

[Previous](#) **1** [Next](#)

List my Requests **SO View**

Show 10 entries [Back to Prior Approval](#)

| Request ID | Prior Approval Type | PI Name | Application Title | Actions |
|------------|---------------------|------------|---|------------------------|
| 10024 | 500K | Dr. [Name] | AA Significant Request | Modify |
| 10021 | 500K | Dr. [Name] | AA Significant Request | Modify |
| 10020 | 500K | Dr. [Name] | AA Significant Request | Modify |
| 10017 | Withdrawal | Dr. [Name] | R01AI Genetic Adaptations to Antibiotics: Role in MRSA Persistent Endovascular Infections | Modify |
| 10008 | Withdrawal | Dr. [Name] | R21NS Targeting R155H p97_VCP to treat IBMPFD_ALS, a rare degenerative disorder | Modify |

Showing 1 to 5 of 5 entries

[Previous](#) **1** [Next](#)

- Select the grant you wish to initiate the request for.
- The system will initiate the request and redirect the user to the [Modify Request](#) screen.

NOTE: If the request was initiated in error, the user may choose to delete the request via the **Delete** button on the [Modify Request](#) page.

NOTE: If the request was routed to a reviewer and needs to be recalled, please follow those instructions in the [Recall](#) section.

12.16 Search for Existing Prior Approval Requests

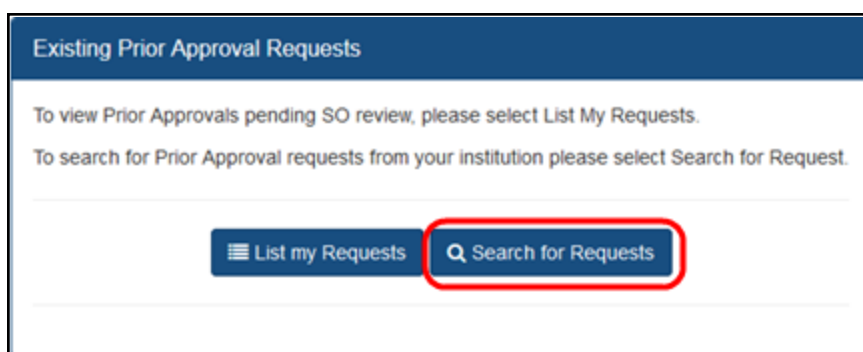
Only SOs can access the **Search for Requests** option under the Existing Prior Approval Requests on the *Prior Approval* landing screen.

An SO must be affiliated with the institution that initiated the request.

NOTE: PIs use the **List My Requests** option to see a hitlist of requests where they are the current reviewer. See the [List My Requests](#) topic for more information.

To search for a request:

1. To search for existing requests, select **Search For Requests**.



2. The "Search Prior Approval Requests" screen will open. On this screen, use any of the available search fields to find requests for the institution.

 A screenshot of the 'Search Prior Approval Requests' screen. The top navigation bar includes links like Home, Admin, Institution Profile, Personal Profile, Status, ASSIST, Prior Approval, RPPR, xTrain, xTRACT, and Admin Supp. Below the navigation bar, the title 'Search Prior Approval Requests' is displayed. On the right, there's a link '« Back to Prior Approval'. The main search area contains several fields: 'Request ID' (text input), 'Request Type' (dropdown menu), 'Request Status' (dropdown menu), 'Activity Code' (text input), 'IC' (dropdown menu), 'Serial' (text input), and 'Submission Date Range: From' (text input with a calendar icon). On the right side, there's a 'PI Lookup (by Last Name, First Name)' section with a text input containing 'les' and a dropdown menu showing 'LESS, ISAMORE (LESSI)'. At the bottom right, there are 'Clear Search' and 'Search' buttons.

3. Users may search on the following criteria:
 - Request ID
 - Request Type (select from "Withdrawal Request or "500K Request")

- Request Status (select from "Submitted to Agency", "In Progress SO", or "In Progress PI").
 - PI Lookup (names of valid, matching PIs begin to appear as the user begins typing)
 - Activity Code, IC, Serial
 - Submission Date Range (From: and To:)
4. After entering search criteria, select the **Search** button to perform the search. Selecting **Clear Search** clears the search boxes in preparation for another search.
- Once **Search** has been selected, the screen expands to display a hit list of all requests based on the search criteria.

Show entries

| Request ID | Request Type | PI Name | Request Status | Application ID | Project Title | Actions |
|------------|--------------|---------|---------------------|------------------|---------------|--------------------------|
| 3003 | Withdrawal | PI Name | Submitted to Agency | 1 R01 A123546-00 | Project Title | View PDF View History |
| 3002 | Withdrawal | PI Name | In Progress SO | 1 R01 A123546-00 | Project Title | Modify |
| 2049 | Withdrawal | PI Name | In Progress PI | 1 R01 A123546-01 | Project Title | View |

Showing 1 to 3 of 3 entries

Previous **1** Next

5. Choose available View and Modify options from the Actions column.
- **View PDF** Opens a read-only PDF version of the request
 - **View History** - to view the progress of the request
 - **Modify** opens the [Modify Request](#) screen to allow editing
 - **View** the request - opens the *View Request* screen that displays a read-only version of the request.

12.17 \$500K Requests

Any applicant planning to submit a grant application with \$500,000 or more in direct costs in any one budget year (excluding consortium F & A costs) is required to contact their Program Official (PO) and obtain agreement from the funding agency six (6) weeks prior to their application submission.

If the PO determines that they wish to receive the request through an electronic process, they will initiate an invitation to the PI which will open up a

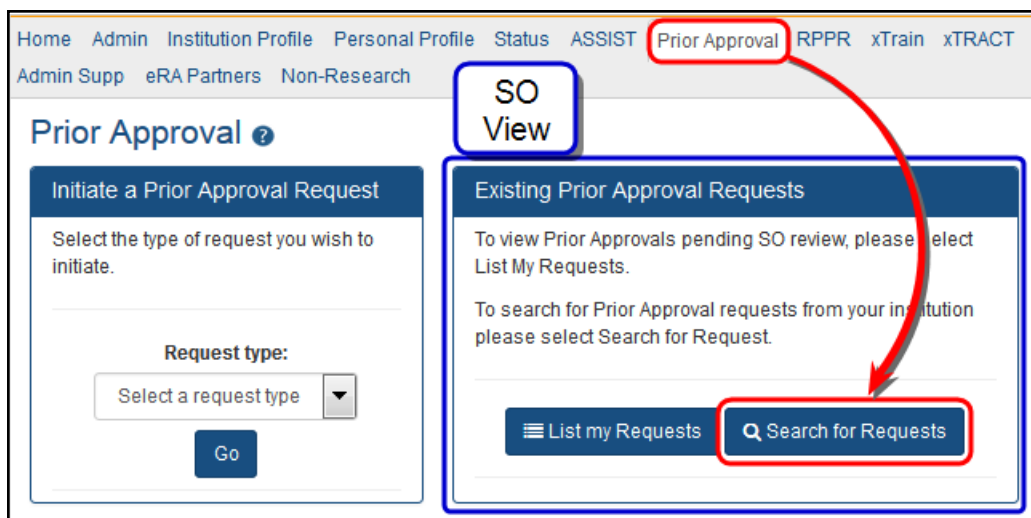
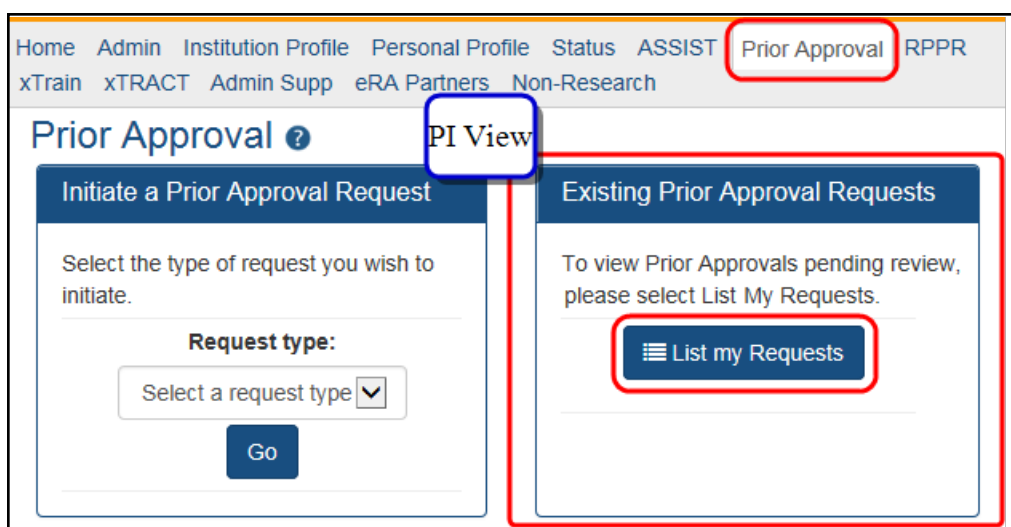
request in the **Prior Approval** module. The PI and the Notice of Award email of the organization on the invitation will receive an email notifying them of the invitation.

NOTE: The option to submit a \$500K request will not be visible in the **Prior Approval** module of eRA Commons until the PO has initiated the invitation.

Select the **Prior Approval** tab in eRA Commons to begin the process.

Respond to \$500K Request from PO

1. On the *Prior Approval* landing page, under the **Existing Prior Approval Requests** section, click on the **List My Requests** button (PI), or **Search for Requests** button (SO).



NOTE: Signing Officials will be taken to a search screen and will have the option to [search for requests](#) in their institution using a variety of search criteria. If the request is in the status of "*In Progress SO*", the SO may proceed to modify the request. However, if the request is in another status, the SO will need to perform a [recall](#) in order to modify it.

2. **For PIs**, the next screen will show a hit list of Prior Approval requests that are available to modify. Select the "**Modify**" link in the **Action** column. The **Request Type** will be "500K" and the **Prior Approval Status** will be "*In Progress PI*".

For SOs to modify the request, they will need to be the current reviewer or they will need to perform a [recall](#) as noted above in order to become the current reviewer. Once the request is in the "*In Progress SO*" status, the SO will be able to modify the request.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

List my Requests **PI View**

Show 10 entries

« Back to Prior Approval

| Request ID | Request Type | Prior Approval Status | Application ID | Project Title | Action |
|------------|--------------|-----------------------|----------------|---------------|-----------------------|
| 5064 | 500K | Submitted to Agency | CA | test | View PDF View History |
| 5063 | 500K | In Progress PI | CA | N/A | Modify |

Showing 1 to 2 of 2 entries

Previous 1 Next

Show 10 entries

SO View after Recall process

| Request ID | Request Type | Request Status | Application ID | Project Title | Actions |
|------------|--------------|---------------------|----------------|--|-----------------------|
| 5089 | 500K | Submitted to Agency | OD | Test Title | View PDF View History |
| 5088 | 500K | In Progress SO | CA | Nonsurgical Treatment of Thoracic Aortic Aneurysms | Modify |

Showing 1 to 2 of 2 entries

Previous 1 Next

PI

1. The *Prior Approval Request 500K - Modify Request* screen displays.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp
eRA Partners Non-Research

Prior Approval Request 500k - Modify Request ?

Note: Required fields are marked with an *

Request ID
5063

Principal Investigator (PI)
CHARLOTTE WEBB

Organization
UNIVERSITY OF CAVATICUS

Project Title*

FOA*

Anticipated Submission Date*

Activity Code

IC CA

Serial

Program Official WHITE, E.B.

Program Official Email eRATest@mail.nih.gov

Justification*

Total remaining allowed limit is 500 characters.

Supporting Documents

Drag up to 10 files here to upload.

| File Name | Date Created | Action |
|-------------|--------------|---|
| Queries.pdf | 09/08/2016 | <input type="button" value="View"/> <input type="button" value="Delete"/> |

The system will pre-populate these fields:

- *Principle Investigator (PI)*
- *Organization*
- *IC* (to which the application will be submitted)
- *Program Official* information (based on the invitation from the PO.)

2. The following *required* [*] fields must be populated in order to continue the process:

- *Project Title*
- *FOA*
- *Anticipated Submission Date*
- *Justification*

SO

1. The *Prior Approval Request 500K - Modify Request* screen displays.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT
Admin Supp eRA Partners Non-Research

Prior Approval Request 500k - Modify Request ?

Note: Required fields are marked with an *

Request ID
5063

Principal Investigator (PI)
WEBB, CHARLOTTE

Organization
UNIVERSITY OF CAVATICUS

Project Title*
[Project Title (as it will be submitted)]

FOA*
foa

Anticipated Submission Date*
anticipated submission date

Activity Code
activity code

IC
CA

Serial
serial

Program Official
WILLIAMS, GARTH

Program Official Email
eRATest@mail.nih.gov

Justification*
[Provide an abstract-type of justification here for the project. The character limit is 500]
Total remaining allowed limit is 407 characters.

Supporting Documents

[Upload](#) Drag up to 10 files here to upload.

| File Name | Date Created | Action |
|-------------|--------------|---|
| Queries.pdf | 09/08/2016 | View Delete |

[Cancel](#) [View History](#) [Save](#) [Route](#) [Submit](#)

2. On the modify screen, the SO must provide the following information in order to continue the process:

- **Project Title**
- **FOA** (Funding Opportunity Announcement Number)
- **Anticipated Submission Date** - The date the application is expected to be submitted. This date may not be in the past, or more than 120 days in the future.
- **Justification** - This is a brief description of the justification to submit for over \$500K. The character limit 500.

NOTE: If the \$500K request is being submitted for a Renewal (Type 2) application, the user may also provide the Activity Code and Serial Number of the grant family.

3. When finished, click the appropriate button at the bottom of the *\$500K - Modify Request* screen for the next action.

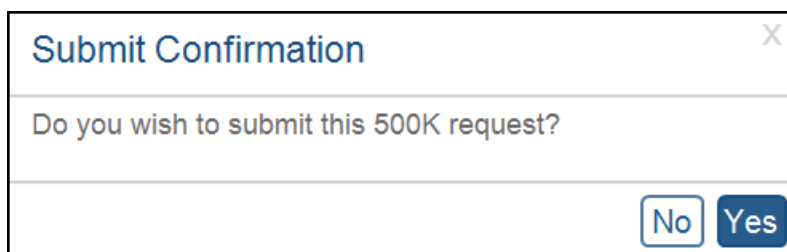
Submitting the \$500K Request

All *required* (*) fields must be populated before submission.

- The PI may now submit the request.
- If the PI chooses to do so, they may route the request to an SO for review and final submission.
- Upon a successful submission, the system will send an email notification the submitter, as well as to the associated PI, informing them that the request was submitted to the Agency.

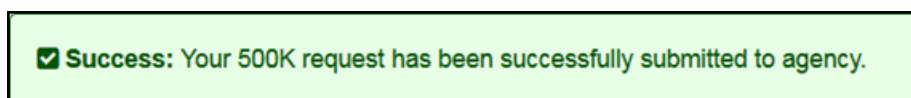
1. Click **Submit**.

The *Submit Confirmation* screen will appear.

A dialog box titled "Submit Confirmation" with a close button (X) in the top right corner. The main text asks "Do you wish to submit this 500K request?". At the bottom right, there are two buttons: "No" and "Yes".

| | |
|--|-----|
| Submit Confirmation | |
| Do you wish to submit this 500K request? | |
| No | Yes |

2. Click **Yes** and a *Success* notification will appear at the top of the screen.

A green rectangular notification box with a checkmark icon and the text "Success: Your 500K request has been successfully submitted to agency."

| |
|---|
| ✓ Success: Your 500K request has been successfully submitted to agency. |
|---|

12.18 Withdraw a Grant Application

NOTE: Both PIs and SOs may initiate Withdrawal Requests but only an SO may submit them.

Initiate a Withdrawal request:

1. From the **Prior Approval** landing screen drop-down menu, select *Withdrawal Request* from **Request type:** and click **Go**.

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:

Select a request type

Withdrawal Request

Change of PD/PI Request

No Cost Extension Request

Go

- The system displays a hitlist of all grant applications eligible for withdrawal in the *Withdrawal - Available Grants* screen. The type of information displayed is based on the users' role.
- A PI will see grants that are eligible for withdrawal on which they are the contact PI.

Prior Approval Request Withdrawal - Available Grants ?

The following grants are eligible for withdrawal. Please select one grant and click the **Initiate Withdrawal Request** button.

Show 10 entries

| Grants.gov Tracking # | Application ID | Project Title | Application Status | eSubmission Status Date |
|-----------------------|----------------|----------------------------|--------------------|-------------------------|
| GRANT 012345 | 1R1234567-01 | Title of Grant Application | Pending IRG Review | 2016-01-25 18:43:34.0 |

Showing 1 to 1 of 1 entries

Previous 1 Next

Cancel **Initiate Withdrawal Request**

- An SO will see grants eligible for withdrawal at their institution. The SO also has the ability to search by entering; *Grants.gov Tracking #*; *Application ID* (Grant Number); or the *PI* name, and then selecting the **Search** button.

NOTE: When searching by PI, the hitlist will only show those grants on which that investigator is the contact PI. If the investigator is associated with a Multi-PI grant, *but is not the contact PI*, those grants will not be part of the search results.

Prior Approval Request Withdrawal - Available Grants ⓘ

The following grants are eligible for withdrawal. Please select one grant and click the **Initiate Withdrawal Request** button.

Search Grants.gov Tracking # Search Application ID Search PI

Show 10 entries

| Grants.gov Tracking # | Application ID | Project Title | Application Status | PI Name | eSubmission Status Date |
|---|-----------------|------------------------------|--------------------|---------|-------------------------|
| <input type="radio"/> GRANT12345678A | 1A01AB123456-07 | Title of Grant Application | Pending IRG Review | PI Name | 2016-01-28 19:08:55.0 |
| <input checked="" type="radio"/> GRANT12345678B | 1A01AB123456-01 | Title of Grant Application 2 | Pending IRG Review | PI Name | 2016-01-28 17:03:55.0 |

Previous 1 2 3 4 5 25 Next

- Applications that have gone through council review and any with the following statuses will not display in the hit list.
 - Awarded
 - Withdrawn
 - Canceled
2. Select one grant application by clicking the radio button on the left.
 3. Select the **Initiate Withdrawal Request** button to initiate the withdrawal request.
 - The user is redirected to the *Modify Request* screen, where they can add justifications and supporting documents for the request withdrawal (see [Modify Prior Approval Requests](#)).

NOTE: There are times that the agency may be taking action on the application that will prevent users from withdrawing their application through Prior Approval system. In these cases, the system will display the following error: *There is a pending agency action on Application, please submit your withdrawal request to Division of Receipt and Referral.*

Once the Withdrawal Request is ready to submit, an SO must perform that action. See [Submit a Withdrawal Request](#) for more information.

Modify an Existing Prior Approval Request

Once a Prior Approval Request is initiated, it is available for modification by the current reviewer.

Users are taken to the *Modify Request* screen when the user selects:

- The **Initiate** button from the *Available Grants* screen
- The **Modify** button from either the *List My Requests* hitlist, or the *Search Prior Approval Request* hitlist.

To Modify the Request:

The *Modify Request* screen contains a read-only heading section and request information.

Prior Approval Request Withdrawal - Modify Request

Note: Required fields are marked with an *

Request ID
2040

Principal Investigator (PI)
PI Name

Grants.gov Tracking
GRANTS012345678

Application ID
1 R01 A123456-01

Project Title
Project Title

Justification

Enter justification for withdrawal of application here.

Total remaining allowed limit is 4000 characters.

Supporting Documents

Upload

Drag up to 10 files here to upload.

| File Name | Date Created | Action |
|----------------------------|--------------|-------------|
| e PO1 - project 1 - R1.pdf | 05/16/2016 | View Delete |

Cancel View History Save Route Delete Submit

This area cannot be edited

Use this area to provide information and to manage the Prior Approval Request

Users may perform the following actions on the Modify Request screen:

1. Enter or modify Justification.
2. Upload PDF documents (not to exceed 5MB. Some limits on the number of documents may apply per FOA or PO direction). The user may also delete uploaded PDF documents.
3. Select the **View History** button to see the actions taken so far.
4. **Route** the request (from SO to PI or vice versa).
5. **Delete** the request.
6. Select the **Save** button to save any changes on the screen.
7. Select the **Cancel** button to return to the *Prior Approval* landing page.

NOTE: \$500K requests cannot be deleted

Submit a Withdrawal Request

NOTE: Only a Signing Official (SO) can submit a withdrawal request and only

when the SO is the current reviewer of the report.

Tip: Grantees are strongly encouraged to review the Withdrawal Request prior to submission, to ensure all relevant information and attachments are provided.

To submit the Withdrawal Request to agency:

1. Select the **Modify** button from the **Action** column of the *List My Requests* screen. Users are automatically directed to the *Modify Request* screen.

The screenshot displays the eRA Commons interface. On the left, the 'List my Requests' table shows a list of requests with columns for Request ID, Prior Approval Type, and Actions. The 'Modify' button in the Actions column is highlighted with a red box. A blue arrow points from this button to the 'Prior Approval Request - Withdrawal - Modify Request' form on the right. The form contains fields for Request ID, Principal Investigator (PI), Project Title, and a 'Justification' text area. The 'Supporting Documents' section includes an 'Upload' button. At the bottom right, the 'Submit' button is highlighted with a red box.

2. Once the required justification has been entered, and all supporting documents have been uploaded, select the **Submit** button from the bottom of the *Modify Request* screen.
3. A confirmation box displays. Click **Yes**.

The screenshot shows a 'Confirmation' dialog box with the text 'Are you sure you wish to submit to Agency?'. At the bottom right, there are two buttons: 'No' and 'Yes'.

- A message displays on the screen indicating that the request has been successfully submitted.

✓ **Success:** Your withdrawal request has been successfully submitted to agency.

- A notification is sent to the submitting SO and PI(s) that the Withdrawal request has been submitted to Agency.

12.19 Requesting a No Cost Extension

Requests for No Cost Extensions (NCEs) may only be initiated by a Signing Official (SO).

A No Cost Extension may be requested in the following situations:

- If the Grant has previously had a No Cost Extension and less than 90 days remain before project period End Date.
- The Grant has previously had a No cost Extension and the application is within 270 days after the end of the project period End Date has passed, but the grant has not been closed.
- The Grant does not have an expanded authority and less than 90 days remain before the project period end date.
- The Grant does not have an expanded authority and the application is within 270 days after the end of the project period end date has passed, but the grant has not been closed.

Users may modify these requests until they are submitted to the agency.

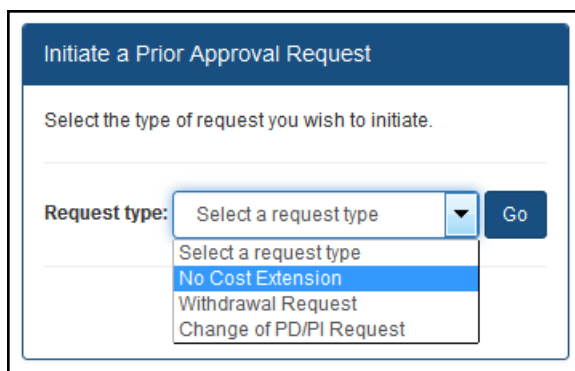
NCEs may not be submitted if they contain errors but they may be submitted with warnings.

NCE request may not be submitted for grants for which the closeout process has begun.

Initiate a No Cost Extension

Log into Commons and select the **Prior Approval** tab.

From the drop-down menu in the **Initiate a Prior Approval Request** section, select the option for a *No Cost Extension* and click the **Go** button.



The **No Cost Extension - Modify Request** screen will open. All fields and listed documents are required in order to submit the request.

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[eRA Partners](#) [Non-Research](#)

Prior Approval Request

No Cost Extension - Modify Request ?

All fields and documents are required

Application Information


| | | | |
|--|---------------------------------------|--|---|
| PD/PI User ID GEORGE_BURNS | Name of PD/PI Burns, George | Grants Management Specialist Allen, Gracie eRATest@mail.nih.gov (919) 316-4666 | Program Official Birnbaum, Nathan eRATest@mail.nih.gov (240) 555-5555 |
| Grant #: Type Act IC Serial# Year Suffix 5U01ES123456-10 | | Application Title Functional Genomics of Chemical-Induced Acute Lung Injury | |
| Institution UNIVERSITY OF VAUDEVILLE | | Budget Period 05/01/2015 - 04/30/2017 | Project Period 09/29/2006 - 04/30/2017 |

Request Detail

Request ID: 652

| | | |
|--|---|--|
| Number of Months <input type="text" value="5"/> | Proposed Budget Period End Date | Proposed Project Period End Date |
| Amount of Unobligated Balance <input type="text" value="0"/> | Do Assurances Remain in Place? <input type="text" value="Yes"/> | Does PI Maintain Measurable Effort? <input type="text" value="Yes"/> |


Progress Report

 **Upload**

Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|-------------------------|--------------|---|
| ProgressReport_test.pdf | 02/10/2017 | <input type="button" value="View"/> <input type="button" value="Delete"/> |


Budget Document

 **Upload**

Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|-----------------|--------------|---|
| Budget_test.pdf | 02/10/2017 | <input type="button" value="View"/> <input type="button" value="Delete"/> |

Justification Document

 **Upload**

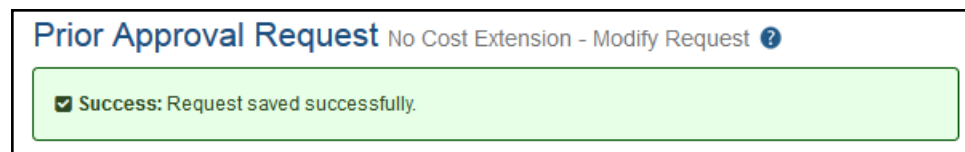
Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|------------------------|--------------|---|
| Justification_test.pdf | 02/10/2017 | <input type="button" value="View"/> <input type="button" value="Delete"/> |

Saving the request for later completion and submission (if needed)

If it is necessary to complete the request at a later time, click on the **Save** button. A confirmation

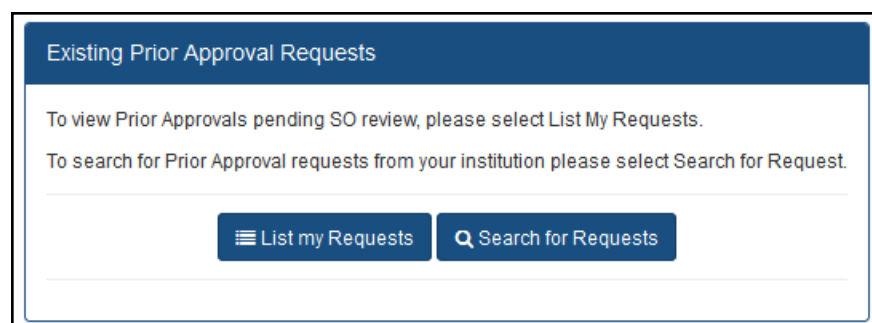
message will be displayed if all required fields have been completed.



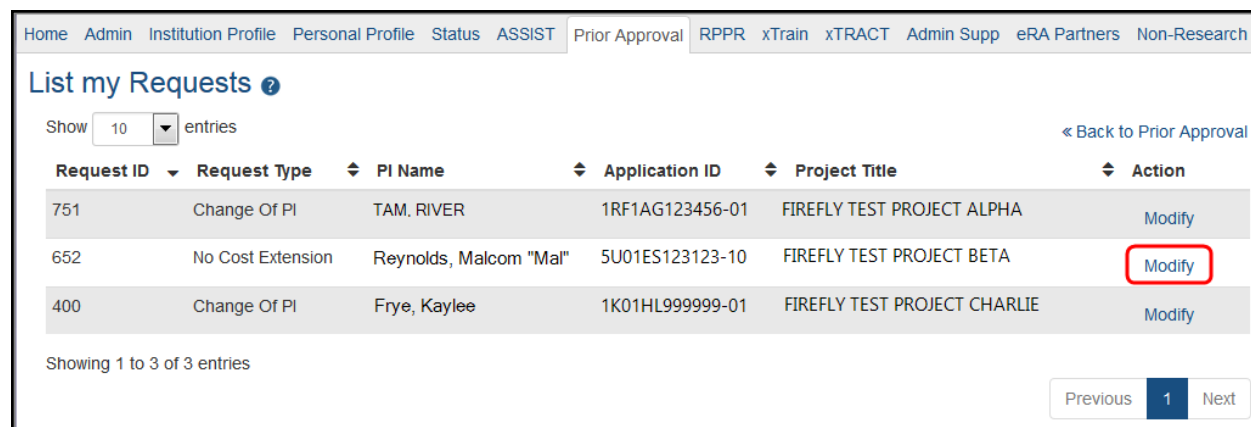
Modifying a request

Between the time that a request has been initiated and before it is submitted to the agency, an SO may modify the request.

The SO may perform this action by clicking on either **List My Requests** (if the SO initiated it), or **Search for Requests** (if a different SO initiated the request) from the *Prior Approval* landing page.



From the resulting hitlist, select the *Modify* link in the **Action** column. This will take the user to the *Modify Request* screen.



On the *Modify Request* screen, update the information as appropriate. At this stage, all of the action buttons at the bottom are available. You may choose to,

- **Submit** - if all of the information is entered and accurate
- **Save** - if additional updates may still be required
- **View History** - to see the actions that have been taken so far and who performed the action
- **Cancel** - if the current actions should not be saved
- **Delete** - to remove the request entirely.

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Prior Approval Request

No Cost Extension - Modify Request ?

All fields and documents are required

Application Information

| | | | |
|--|---|--|---|
| PD/PI User ID GEORGE_BURNS | Name of PD/PI Burns, George | Grants Management Specialist Allen, Gracie eRATest@mail.nih.gov (919) 316-4666 | Program Official Birnbaum, Nathan eRATest@mail.nih.gov (240) 555-5555 |
| Grant #: Type Act IC Serial# Year Suffix 5U01ES123456-10 | Application Title Functional Genomics of Chemical-Induced Acute Lung Injury | | |
| Institution UNIVERSITY OF VAUDEVILLE | Budget Period 05/01/2015 - 04/30/2017 | Project Period 09/29/2006 - 04/30/2017 | |

Request Detail

Request ID: 652

| | | |
|---|--|---|
| Number of Months 5 | Proposed Budget Period End Date | Proposed Project Period End Date |
| Amount of Unobligated Balance 0 | Do Assurances Remain in Place? Yes | Does PI Maintain Measurable Effort? Yes |

Progress Report

Upload

Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|-------------------------|--------------|-----------------------------------|
| ProgressReport_test.pdf | 02/10/2017 | <div>View</div> <div>Delete</div> |

Budget Document

Upload

Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|-----------------|--------------|-----------------------------------|
| Budget_test.pdf | 02/10/2017 | <div>View</div> <div>Delete</div> |

Justification Document

Upload

Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|------------------------|--------------|-----------------------------------|
| Justification_test.pdf | 02/10/2017 | <div>View</div> <div>Delete</div> |

Cancel

View History

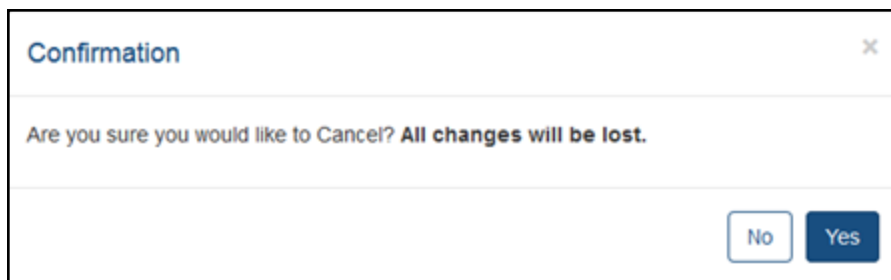
Save

Delete

Submit

Canceling a request

When you click on the **Cancel** button your browser will leave the *Modify Request* page and go back to the previous page. You will be presented with a confirmation message to confirm your actions. Once **Yes** is clicked, you will be taken back to the previous page. If you have saved any information in the *Modify Request* page, it will still be available to update later.



Deleting a request

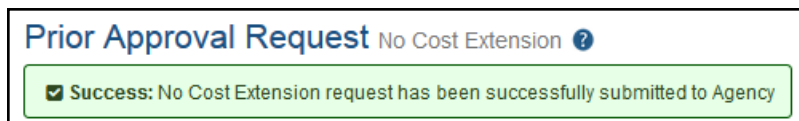
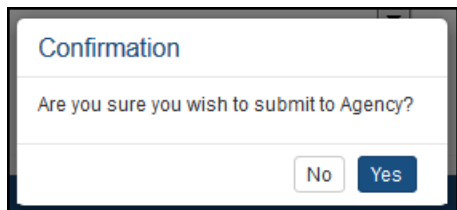
If you decide to delete the request while on the *Modify Request* page, simply click on the **Delete** button and any activity you have performed will be deleted and the screen will return to the prior page.

If you have saved information and are no longer on the *Modify Request* page, you may still look up the request from the *Prior Approval* landing page. Click on the **List My Requests** button to list requests that you have initiated, or click on the **Search for Requests** button and perform a search to find the request to be deleted.

From the resulting hitlist, for either method, click on the *Modify* link in the **Action** column for the desired request. This action will open the *Modify Request* page. At the bottom of the page, click on the **Delete** button. You will be presented with a confirmation message to confirm your actions. Once **Yes** is clicked, you will be taken back to the *Prior Approval* landing page.

Submitting the request to the agency

When all fields have been populated and all required files have been uploaded, click on **Submit** to send the request to the Agency. A confirmation message will be displayed asking for a second confirmation that you wish to submit. Click on the **Yes** button on that message to submit. Once the system validates that all required fields have been completed and all required documents uploaded, a message will be displayed indicating a successful submission.



If the grant has been closed, it will not be eligible for an NCE and an error message will display.

Error: This grant has been closed and is no longer eligible for a No Cost Extension.

View the history of the request

Use either the **List My Requests** or the **Search for Requests** button to find the request.

Existing Prior Approval Requests

To view Prior Approvals pending SO review, please select List My Requests.

To search for Prior Approval requests from your institution please select Search for Request.

List my Requests
Search for Requests

In the resulting hitlist, select the *Modify* or *View History* link in the **Actions** column. The link will say *Modify* until the request has been submitted to the agency. After a successful submission, the link will change to *View History*.

List my Requests ?

PI View

Show 10 entries

« Back to Prior Approval

| Request ID | Request Type | Prior Approval Status | Application ID | Project Title | Action |
|------------|-------------------|-----------------------|------------------|-----------------|--------------------------|
| 2040 | Withdrawal | In Progress PI | 1 R01 A123456-01 | Project Title | Modify |
| 2041 | No Cost Extension | In Progress SO | 1 R01 A999999-02 | Project Title 2 | View PDF View History |

Showing 1 to 2 of 2 entries

Previous 1 Next

List my Requests

SO View

Show 10 entries

« Back to Prior Approval


| Request ID | Prior Approval Type | PI Name | Grant Number | Application Title | Actions |
|------------|---------------------|-------------------|------------------|--|--------------------------|
| 10024 | 500K | SNERD, MORTIMER Z | AA | Test Application 1 | Modify |
| 10021 | No Cost Extension | BERGEN, EDGAR | AA | Test Application 3 | Modify |
| 10020 | 500K | VALLÉE, RUDY | AA | Test Application 3 | Modify |
| 10017 | No Cost Extension | SANBORN, CHASE | R21NS123123-01A1 | Genetic Adaptations to Antibiotics: Role in various persistent endovascular infections | View PDF View History |
| 10008 | Withdrawal | KLINKER, EFFIE | R21NS123456-01A1 | Targeting R155H p87_VCP to treat a variety of rare degenerative nervous system disorders | Modify |

Showing 1 to 5 of 5 entries

Previous 1 Next

Clicking on the *Modify* link will open up the same *Modify Request* screen used for the initial information. At the bottom of the screen, click on the **View History** button to see the history of the request.

Clicking on the *View History* link from the search results **Action** column or the **View History** button from the *Modify Request* screen will open up the *View History* screen that will show what actions have taken place on the request.

Prior Approval Request  No Cost Extension - View History

Request ID

20897

Principal Investigator (PI)

Grint, Rupe

Application ID

AA 123456789

| Action Taken By | Event | Action Date | Request Status | Comment |
|-----------------|----------|-------------|---------------------|---------|
| Malfoy, Draco | Initiate | 04/04/2016 | In Progress SO | |
| Malfoy, Draco | Submit | 04/04/2016 | Submitted to Agency | |

Showing 1 to 2 of 2 entries

12.20 Requesting a Change of PD/PI on a Grant

When it is necessary to change the PD/PI(s) on a grant, an SO may use the **Prior Approval** module to create and submit the request to the agency.

PD/PIs will not see the option for a change of PD/PI(s) when they log in to Commons and access the **Prior Approval** module.

The following are the available functions and who may process them:

- **Initiate**: any SO
- **Modify/Save**: Current Reviewer
- **Delete**: Current Reviewer
- **Route**: Current Reviewer
- **Submit to Agency**: any SO
- **View**: actor who is not the current reviewer
 - Current Reviewer is determined by the role of user and the *Change of PD/PI Status* (for example, if an Change of PD/PI is *SO Pending*, any SO can work on the request.)

Initiate a Change of PD/PI Request

1. User selects *Change of PD/PI Request* from the **Request type**: drop-down menu.

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:

Change of PD/PI Request ▼

Go

2. System displays *eligible* grants as outlined below:

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Prior Approval Request

Change of PD/PI - Available Grants ?

The following grants are eligible for Change of PI. Please select one grant and click the **Initiate Change of PI** button.

Search Grant Number

Search PI

[Clear Search](#) [Search](#)

Show 10 entries

| Grant Number | Project Title | PI Name | Budget Period End Date |
|--|--|-----------------|------------------------|
| <input type="radio"/> 1R15DE123456-01 | Genome Data Mining | Tester, First | 06/30/2019 |
| <input type="radio"/> 1R01GM654321-01 | Mechanisms of regulation of DNA repair helicases | Tester, Second | 07/31/2017 |
| <input type="radio"/> 1R15ES123456-01A1 | The Role of the Peritoneum Pathogenesis | TESTER, THIRD | 07/31/2017 |
| <input type="radio"/> 1R01GM123456-01 | Integration of Small RNAs in Control of Salmonella Pathogenicity | TESTER, FOURTH | 07/31/2017 |
| <input type="radio"/> 1R21HL123456-01A1 | Development of a Liposomal Nanostimulator | Tester, Fifth | 07/31/2017 |
| <input checked="" type="radio"/> 2R01GM000123-05 | Phosphatidic acid regulation of mTOR signaling | TESTER, SIXTH | 07/31/2017 |
| <input type="radio"/> 1K22AI123456-01A1 | Defining novel mechanisms of influenza virus gene regulation | Tester, Seventh | 06/30/2017 |
| <input type="radio"/> 1R21HL654321-01A1 | An objective noninvasive single-cell method to identify HSC | TESTER, EIGHTH | 06/30/2017 |
| <input type="radio"/> 1R21MH654321-01 | Novel DNzyme sensors for lithium and sodium | Tester, Ninth | 06/30/2017 |
| <input type="radio"/> 1R21HL654321-01A1 | The 23rd Annual Midwest Microbial Pathogenesis Conference | TESTER, TENTH | 06/30/2017 |

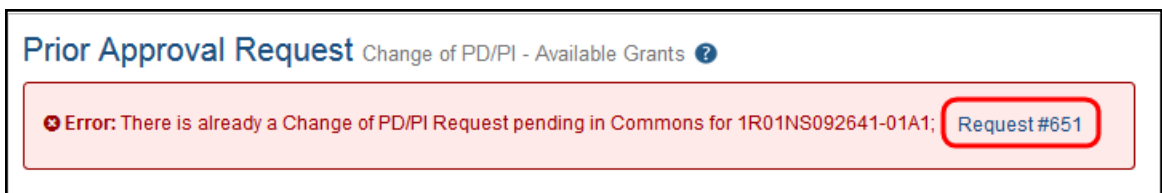
Showing 1 to 10 of 30 entries

Previous 1 2 3 Next

[Cancel](#) [Initiate Change of PI](#)

3.
 - Grant year is the most recent awarded year in the segment
 - Grant family is not past the Project Period End Date
 - Grant is not a Fellowship
 - Grant is from an IC/Agency that supports Change of PD/PI
 - Administrative Supplements cannot have a Change of PD/PI initiated
4. SO selects a grant and initiates request:

NOTE: If the grant selected already has a pending *Change of PD/PI* request already pending in the PA Module, the system will display an error message. This error message will contain the pending request number which is a link from which user can access the pending request.



- If no pending request exists, the system assigns a Prior Approval ID number to the request
- Request is set to: *In Progress SO*
- The user is taken to the *Change of PD/PI Modify Request* page

[Home](#)
[Admin](#)
[Institution Profile](#)
[Personal Profile](#)
[Status](#)
[ASSIST](#)
[Prior Approval](#)
[RPPR](#)
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Prior Approval Request Change of PD/PI - Modify Request ?

Application Information

| | | | |
|--|---|---|---|
| PD/PI User ID CRYSTALMAX | Name of PD/PI Crystal, Billy | Grants Management Specialist Max, Miracle eRATest@mail.nih.gov 301-555-5555 | Program Official Montoya, Inigo eRATest@mail.nih.gov 301-555-5555 |
| Grant #: 1K01HL123456-01 | Type Act IC Serial# Year Suffix | Application Title Efficacy of revitalization medicine coated in chocolate | |
| Institution UNIVERSITY OF FLORIN | Budget Period 08/01/2016 - 07/31/2017 | Project Period 08/01/2016 - 07/31/2021 | |

Request Detail

Request ID: 400

PD/PI Assigned to Current Grant Year

| PD/PI Name | PD/PI ID |
|----------------|------------|
| Crystal, Billy | CRYSTALMAX |

PD/PI Name

PD/PI ID

Contact PD/PI

☐

Level of Effort in Person Months

| Calendar | Academic | Summer |
|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Biosketch

Other support

| PD/PI Name | PD/PI ID | Contact PD/PI | Cal | Aca | Sum | Bio Sketch | Other Support | Action |
|----------------|------------|---------------|-----|-----|-----|------------|---------------|---|
| Crystal, Billy | CRYSTALMAX | Y | | | | | | Modify Delete |

Effective Date

Justification Document

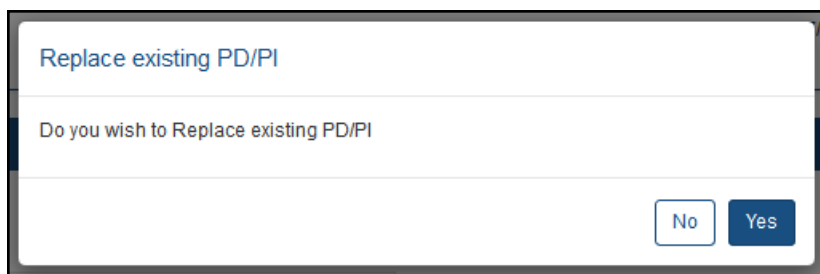
Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|-----------------------|--------------|--------|
| No documents provided | | |

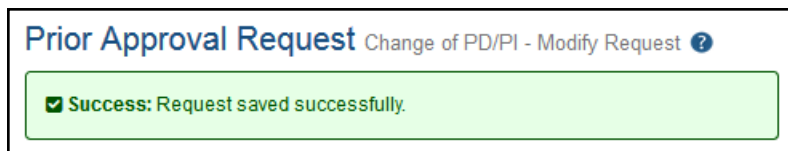
The *Change of PD/PI Modify Request* page consists of a read only header, OPERA-mandated questions (which may be optional), and IC specified document uploads.

The current reviewer may modify the following on a *Change of PD/PI Modify Request*:

- Add a PD/PI
 - Remove PD/PI
 - Mark PD/PI as Contact PD/PI
 - Add Level of effort for PD/PI (calendar, or academic and/or summer)
 - Effective Date
 - Justification
 - Leadership for Grants that will become MPI
 - Upload Bio Sketch (for each PD/PI)
 - Limit one (1) PDF per PD/PI, and file may not exceed 6 MB.
 - Human Subjects checkbox
 - Other Support upload (for each PD/PI)
 - Other Documents (up to 10, 6 MB size limit per file)
 - IC specific upload
4. When information for a new PD/PI is entered, click on the **Add/New** button. A confirmation pop-up will open, click the **Yes** button to confirm the change.



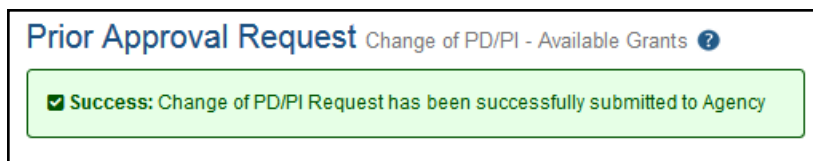
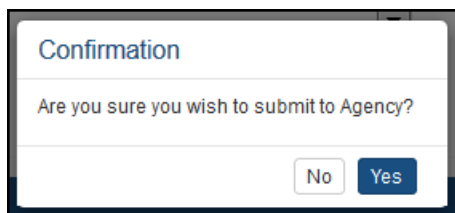
5. The SO may **Save** the request at this time if the request is not ready to submit. When the **Save** button is clicked, a message should appear at the top of the page indicating that the request has been saved.



Submit the request to the agency

When all fields have been populated and all required files have been uploaded, click on **Submit** to send the request to the Agency. A confirmation message will be displayed asking for a second

confirmation that you wish to submit. Click on the **Yes** button on that message to submit. Once the system validates that all required fields have been completed and all required documents uploaded, a message will be displayed indicating a successful submission.

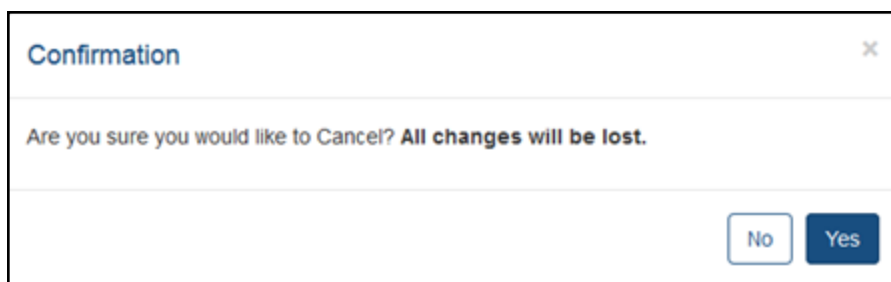


Other actions that occur are:

- System generates a PDF of the request including uploaded documents
- System sends notifications (SO, GMS, PO)
- System Stores PDF in Grant Folder for internal and external users

Cancel a request

When you click on the **Cancel** button your browser will leave the *Modify Request* page and go back to the previous page. You will be presented with a confirmation message to confirm your actions. Once **Yes** is clicked, you will be taken back to the previous page. If you have saved any information in the *Modify Request* page, it will still be available to update later.



Delete a request

If you decide to delete the request while on the *Modify Request* page, simply click on the **Delete** button and any activity you have performed will be deleted and the screen will return to the prior page.

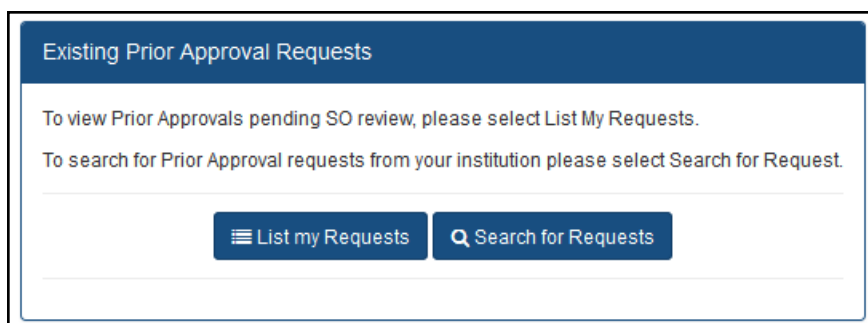
If you have saved information and are no longer on the *Modify Request* page, you may still look up the request from the *Prior Approval* landing page. Click on the **List My Requests** button to list

requests that you have initiated, or click on the **Search for Requests** button and perform a search to find the request to be deleted.

From the resulting hitlist, for either method, click on the *Modify* link in the **Action** column for the desired request. This action will open the *Modify Request* page. At the bottom of the page, click on the **Delete** button. You will be presented with a confirmation message to confirm your actions. Once **Yes** is clicked, you will be taken back to the *Prior Approval* landing page.

View the history of the request

Use either the **List My Requests** or the **Search for Requests** button to find the request.



In the resulting hitlist, select the *Modify* or *View History* link in the **Actions** column. The link will say *Modify* until the request has been submitted to the agency. After a successful submission, the link will change to *View History*.

[Home](#)
[Admin](#)
[Institution Profile](#)
[Personal Profile](#)
[Status](#)
[ASSIST](#)
[Prior Approval](#)
[RPPR](#)
[xTrain](#)
[xTRACT](#)
[Admin Supp](#)
[eRA Partners](#)
[Non-Research](#)

List my Requests

Show

10

▼

entries

« Back to Prior Approval

| Request ID | Request Type | PI Name | Application ID | Project Title | Action |
|------------|--------------|--------------------|-------------------|---|--------------------------|
| 350 | Change Of PI | Porter, Eleanor H. | 1R21MH123456-01 | Case studies observing the effect of optimism in outcomes | Modify |
| 306 | Change Of PI | Mills, Hayley | 1R15DE123456-01 | Recovery results comparing the effectiveness of positive mental attitude compared to placebos | View PDF View History |
| 9006 | Withdrawal | Pickford, Mary | 1R21EY123456-01A1 | Studying the Pollyanna effect on corneal transplant recovery outcomes | Modify |

Clicking on the *Modify* link will open up the same *Modify Request* screen used for the initial information. At the bottom of the screen, click on the **View History** button to see the history of the request.

Clicking on the *View History* link from the search results **Action** column or the **View History** button from the *Modify Request* screen will open up the *View History* screen that will show what actions have taken place on the request.

| | | | | | | | | | | | |
|------------|--------------|---------------------|------------------|--------|--------|----------------|------|-----|--------|--------|------|
| Home | Admin | Institution Profile | Personal Profile | Status | ASSIST | Prior Approval | RPPR | FFR | xTrain | xTRACT | FCOI |
| Admin Supp | eRA Partners | Non-Research | | | | | | | | | |

Prior Approval Request

Change of PD/PI - View History ?

| | | |
|---|------------------------------------|---------------------|
| Request ID | Principal Investigator (PI) | Grant Number |
| 350 | PORTER, ELEANOR H | 1R21MH123456-01 |
| Project Title | | |
| Case studies observing the effect of optimism on outcomes | | |

| Action Taken By | Event | Action Date | Request Status | Comment |
|---------------------|----------|-------------|-------------------|---------|
| Whittier, Pollyanna | SUBMIT | 02/08/2017 | Request Submitted | |
| Whittier, Pollyanna | INITIATE | 02/08/2017 | Request Initiated | |

12.21 Carryover

12.21.1 Overview

Carryover is a process through which unobligated funds remaining at the end of the budget period may be carried forward to the next budget period. The carryover of funds allows the Grantees to use the unused prior year funds in the current budget period. Grantees are allowed to carryover funds automatically if they have the expanded authority for their application for all others, Grantees need to submit a carryover request to their respective Grants Management Specialists and Program Officials who will review their request.

12.21.2 Eligibility Criteria

To be eligible for a Carryover request through the *Prior Approval* module, the Grantees should have satisfied the following conditions:

- The grant is still active, meaning the project period has not ended, or a Prior Approval NCE request has been submitted by the institution requesting additional time and the grant has not gone into closeout or unilateral closeout.
- The grant does not have an Expanded authority (Expanded authority is based on the activity code of the application, or set by the IC in GM Module).
- The request date is within the current budget period date.
- The grant is not for a Fellowship application.

12.21.3 Required Information and Documents

Grantees who satisfy the above conditions are allowed to submit their request through the **Prior Approval** module available in their Commons system. When submitting their request, enter the amount of the funds to be carried over in the Request Details section. In the remaining sections, upload the following PDF documents.

- Explanation of unobligated balance
- Detailed Budget

- Scientific Justification

12.21.4 Validation on Submission

When the request is submitted, the NIH system will verify;

- That all required fields have been filled out.
- The system will display a warning message if:
 - There are any Prior year outstanding FFRs (Federal Financial Reports) that need to be submitted.

Or

- Any prior year FFR has been submitted and rejected by the agency and the grantee has resubmitted the FFR.

12.21.5 No Cost Extension and Carryover

If the grant is eligible for a *No Cost Extension* when the *Carryover* request is initiated, the system will provide the ability to initiate a *No Cost Extension*. A *No Cost Extension* request can be initiated if either of the following conditions are satisfied

- If Project period end date is with 90 days.

Or

- The Project Period End Date has passed, and the grant is not in closeout or unilateral closeout.

12.22 Carryover Request Process

12.22.1 Initiate Carryover Request

To initiate a Carryover request, the SO will open the *Prior Approval* module in Commons and select *Carryover* from the Initiate a Prior Approval Request drop-down menu.

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:

Select a request type

No Cost Extension

Withdrawal Request

Carryover Request

Change of PD/PI Request

Go

All grants eligible for Carryover will be displayed. From the displayed grants, select the one for which the request is to be initiated and then click the **Initiate Carryover** button.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Prior Approval Request

Carryover - Available Grants ?

The following grants are eligible for a Carryover. Please select one grant and click the **Initiate** button to get started.

Search Grant Number

Search PI

Clear Search Search

Show 10 entries

| | Grant Number | Project Title | PI Name | Budget Period End Date |
|----------------------------------|-----------------|---|--------------------|------------------------|
| <input type="radio"/> | 5UM1HL123456-02 | Genomics of Human Cardiovascular Lineages | QUIGLEY, MATTHEW | 07/31/2017 |
| <input type="radio"/> | 5UM1AI999999-04 | HIV CENTERS FOR UNDERREPRESENTED POPULATIONS | SAN GIACOMO, LAURA | 11/30/2017 |
| <input type="radio"/> | 5UM1AI123456-11 | CD4 Collaborative Clinical Trial Unit | ZAPPA, WILLIAM | 11/30/2017 |
| <input checked="" type="radio"/> | 5UH3TR999999-04 | ADVANCED FIELD DEVICES FOR BLOOD TESTS FOR HIV AND OTHER | BROWN, JONATHAN | 07/31/2017 |
| <input type="radio"/> | 5UH3TR123456-04 | Early Identification of Pregnancies at Risk for Placental Dysfunction | DAVITT, KAREN | 07/31/2017 |
| <input type="radio"/> | 5U54HL999999-05 | Integrating Data for Analysis, Anonymization, and Sharing | KRAPE, EVELYN | 06/30/2017 |
| <input type="radio"/> | 5U54HD123456-33 | Center for Reproductive Science and Medicine | MARSTON, ELLIOT | 07/31/2016 |
| <input type="radio"/> | 5U54CA999999-07 | Energetics & Breast Cancer | FOSTER, KYLIE | 05/31/2017 |
| <input type="radio"/> | 5U54CA123456-07 | Cancer Center Comprehensive Partnership | EHLERS, JEROME | 08/31/2017 |
| <input type="radio"/> | 5U24DK999999-05 | NIDDK Network Coordinating Unit | SWEET, JONATHAN | 11/30/2017 |

Showing 1 to 10 of 98 entries

Previous 1 2 3 4 5 ... 10 Next

Cancel **Initiate Carryover**

The *Modify Request* screen for Carryover will open.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Prior Approval Request Carryover - Modify Request ?

All fields and documents are required

| Application Information | | | |
|--|----------------------------------|---|--|
| PD/PI User ID GADGETGUY | Name of PD/PI BROWN, JONATHAN | Grants Management Specialist Summer, Cree eRATest@mail.nih.gov 240-555-0000 | Program Official Adams, Don eRATest@mail.nih.gov 301-555-0000 |
| Grant #: Type Act IC Serial# Year Suffix 5UM1A123456-11 | | Application Title ADVANCED FIELD DEVICES FOR BLOOD TESTS FOR HIV AND OTHER DISEASES | |
| Institution GADGET UNIVERSITY at DiC | | Budget Period 12/01/2016 - 11/30/2017 | Project Period 01/01/2007 - 11/30/2020 |

| Request Detail | |
|--|--|
| Request ID: 1234 | |
| Amount of funds to be carried over | |
| <input type="text" value="Unobligated Funds"/> | |

| Explanation of Unobligated Balance | | |
|--|--------------|--------|
| <input type="button" value="Upload"/> Drag up to 1 file(s) here to upload. | | |
| File Name | Date Created | Action |
| No documents provided | | |

| Detailed Budget | | |
|--|--------------|--------|
| <input type="button" value="Upload"/> Drag up to 1 file(s) here to upload. | | |
| File Name | Date Created | Action |
| No documents provided | | |

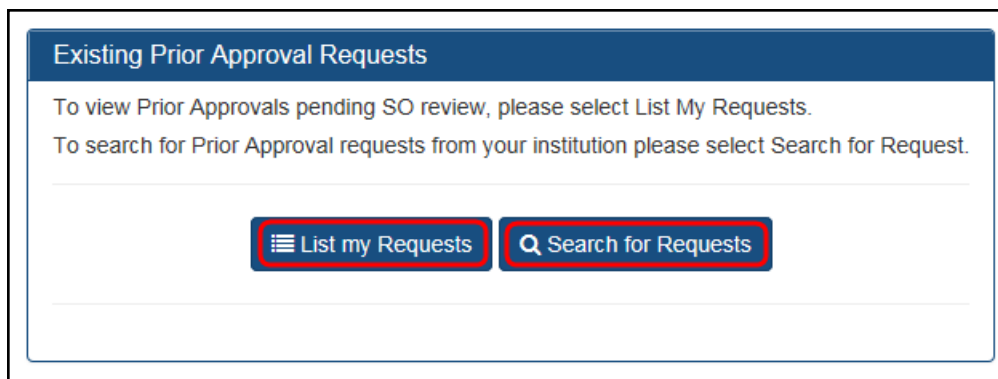
| Scientific Justification | | |
|--|--------------|--------|
| <input type="button" value="Upload"/> Drag up to 1 file(s) here to upload. | | |
| File Name | Date Created | Action |
| No documents provided | | |

- Each section of the *Modify Request* page is required. These sections include:
 - Application Information** - Pre-populated from system information. If the grant is a Multi-IC grant, the PO shown will be the one associated with the primary IC.

- **Request Detail** - The Request ID is system-generated. The amount of funds to carryover must be entered. This field only accepts numbers and period with values up to two decimals.
- **Explanation of Unobligated Balance** - Upload a single PDF document in this section detailing why funds were not spent.
- **Detailed Budget** - Upload single a PDF document in this section with a budget that incorporates how the carryover funds will be spent.
- **Scientific Justification** - Upload a single PDF document in this section that explains the need for the carryover funding from a scientific perspective.
- Click on **Save** to preserve any changes made. A message will be displayed to indicate a successful save and they system will remain on the page.
- Once all information has been entered and uploaded, click on **Submit**. This will validate the request to ensure all required items have been included and mark the application as "Submitted to the agency".
- Once either **Save** or **Submit** is selected, the **View History** button will be available to show the progression of changes made to the request.
- If changes made to the *Modify Request* screen should not be kept, click the **Cancel** button. This will take the user back to the page from which they entered the *Modify Request* page.
- If the Carryover request should be removed, select the **Delete** button. A pop-up message will appear to confirm the action. If "Yes" is selected, all information related to the request will be removed. If "No" is selected, the system will stay on the *Modify Request* page.

12.22.2 View Saved or Submitted Requests


- Once a Carryover request has been saved or submitted, it can be viewed again by selecting either the **List my Requests** or the **Search for Requests** button.




Existing Prior Approval Requests

To view Prior Approvals pending SO review, please select List My Requests.

To search for Prior Approval requests from your institution please select Search for Request.

 List my Requests

 Search for Requests

- Choosing **List my Requests** will display a list of *all* prior approval requests. For institutions with several prior approval requests, it may be more efficient to use the **Search for Requests** option instead. This gives the option to search specifically for Carryover requests.

The screenshot shows the 'Search Prior Approval Requests' interface. At the top is a navigation bar with links: Home, Admin, Institution Profile, Personal Profile, Status, ASSIST, Prior Approval, RPPR, xTrain, xTRACT, Admin Supp, eRA Partners, and Non-Research. Below this is the title 'Search Prior Approval Requests' with a help icon. The form is divided into several sections: 'Request ID' with a text input 'request id'; 'Activity Code' with a text input 'activity code'; 'IC' with a text input; 'Request Type' with a dropdown menu showing options: 'Select a request type', 'Withdrawal Request', 'No Cost Extension Request', 'Carryover Request' (highlighted with a red circle), 'Change Of PI Request', and '500K Request'; 'Request Status' with a dropdown menu 'Select a status'; 'Submission Date Range: From' with a date input 'date start' and a calendar icon; 'Submission Date Range: To' with a date input 'date end' and a calendar icon; and 'PI Lookup (by Last Name, First Name)' with a text input 'Last name, First name'. At the bottom right are 'Clear Search' and 'Search' buttons, with the 'Search' button highlighted with a red circle.

- The resulting hitlist will display only *Carryover* requests. The options in the **Action** column will be determined by the status of the request.
 - Those that are *In Progress SO* will have a **Modify** option.
 - Those with a status of *Submitted to Agency* will have the options to **View History** and **View PDF**.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Search Prior Approval Requests ?

[« Back to Prior Approval](#)

Request ID: Request Type: Request Status: PI Lookup (by Last Name, First Name):

Activity Code: IC: Serial: Submission Date Range: From: To:

Show entries

| Request ID | Request Type | PI Name | Request Status | Application ID | Project Title | Actions |
|------------|--------------|---------------------|---------------------|-------------------|--|--------------------------|
| #### | Carryover | PARKER, MARY-LOUISE | In Progress SO | 5U54CA123456-05 | Energetics & Breast Cancer | Modify |
| #### | Carryover | MOSES, FRANK | Submitted to Agency | 5U54CA123456-07 | Cancer Center Partnership | View History View PDF |
| #### | Carryover | WILLIS, BRUCE | In Progress SO | 5UM1AI123456-11 | HIV CENTERS FOR UNDERREPRESENTED POPULATIONS | Modify |
| #### | Carryover | ROSS, SARAH | Submitted to Agency | 5U54HL123456-05 | Integrating Data for Analysis, and Sharing | View History View PDF |
| #### | Carryover | ROSS, SARAH | Submitted to Agency | 5U54HL123456-05 | Integrating Data for Analysis, and Sharing | View History View PDF |
| #### | Carryover | DREYFUSS, RICHARD | Submitted to Agency | 2T32GM123456-26 | BIOPHYSICS TRAINING PROGRAM | View History View PDF |
| #### | Carryover | MIRREN, HELEN | Submitted to Agency | 5U24DA123456-02 | Consortium Coordinating Center | View History View PDF |
| #### | Carryover | SIMONOV, IVAN | Submitted to Agency | 2T32MH123456-16A1 | Training Program in Cognitive Neuroscience | View History View PDF |
| #### | Carryover | DUNNING, ALEXANDER | Submitted to Agency | 5U01NS123456-05 | Modulators for the Treatment of Alzheimer | View History View PDF |
| #### | Carryover | ROSS, SARAH | Submitted to Agency | 5U54HL123456-05 | Integrating Data for Analysis, and Sharing | View History View PDF |

Showing 1 to 10 of 46 entries

Previous **1** 2 3 4 5 Next

12.22.3 Modify Request

- As indicated above, use the options in the *Existing Prior Approval Requests* window to locate the request to be modified.
- Click on the *Modify* link in the **Actions** column.

- The *Modify Request* screen will open showing what the information that has been entered and uploaded.

[Home](#) [Admin](#) [Institution Profile](#) [Personal Profile](#) [Status](#) [ASSIST](#) [Prior Approval](#) [RPPR](#) [xTrain](#) [xTRACT](#) [Admin Supp](#) [eRA Partners](#)

Non-Research

Prior Approval Request

 Carryover - Modify Request ?

All fields and documents are required

Application Information

| | | | |
|---|---|--|---|
| PD/PI User ID GADGETGUY | Name of PD/PI BROWN, JONATHAN | Grants Management Specialist Summer, Cree eRATest@mail.nih.gov 240-555-0000 | Program Official Adams, Don eRATest@mail.nih.gov 301-555-0000 |
| Grant #: Type Act IC Serial# Year Suffix 5UM1A123456-11 | | Application Title ADVANCED FIELD DEVICES FOR BLOOD TESTS FOR HIV AND OTHER DISEASES | |
| Institution GADGET UNIVERSITY at DiC | | Budget Period 12/01/2016 - 11/30/2017 | Project Period 01/01/2007 - 11/30/2020 |

Request Detail

Request ID: 1234

Amount of funds to be carried over

Unobligated Funds

Explanation of Unobligated Balance

Upload

Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|----------------------|--------------|-----------------------------------|
| 20120726012430-2.pdf | 06/01/2017 | <div>View</div> <div>Delete</div> |

Detailed Budget

Upload

Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|----------------------|--------------|-----------------------------------|
| 20120726012430-2.pdf | 06/01/2017 | <div>View</div> <div>Delete</div> |

Scientific Justification

Upload

Drag up to 1 file(s) here to upload.

| File Name | Date Created | Action |
|----------------------|--------------|-----------------------------------|
| 20120726012430-2.pdf | 06/01/2017 | <div>View</div> <div>Delete</div> |

No Cost Extension

You have submitted No Cost Extension Request #1234 on 05/26/2017, you may view your request here 1234.

You have submitted No Cost Extension Request #9999 on 05/11/2017, you may view your request here 9999.

You have submitted No Cost Extension Request #0000 on 04/05/2017, you may view your request here 0000.

Your project period ends on 05/31/2017, do you wish to initiate another No Cost Extension Request?

☐ Yes

☐ No

Cancel

View History

Save

Delete

Submit

Status Module

226

September 27, 2017

- In the *Modify Request* screen, the amount requested may be changed and any uploaded documents may be replaced by deleting the current document and uploading the new one. Click **Save** if more data will be added later or **Submit** if the request is complete.
- *No Cost Extensions* already submitted for the grant will be listed and the request number will be a hyperlink to view that request. An option will also be given to initiate another NCE. Either the "Yes" or "No" radio button must be selected to save or submit the request.

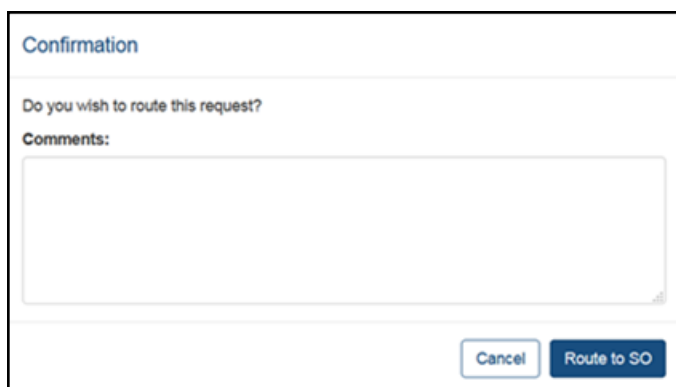
12.23 Route a Prior Approval Request

The routing feature is found towards the bottom of the *Modify Request* screen.

If a request is *In Progress PI*, the PI can route it to the SO. If the request is *In Progress SO*, the SO can route it to the PI.

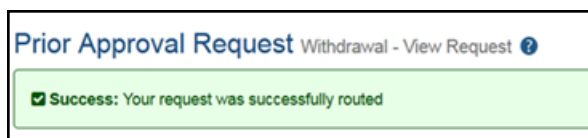
To route a Prior Approval Request to the next reviewer:

1. Select **Route** from the bottom of the *Modify Request* screen.
 - The *Confirmation* screen displays.



The image shows a web form titled "Confirmation". It contains the question "Do you wish to route this request?". Below this is a text area labeled "Comments:". At the bottom right of the form are two buttons: "Cancel" and "Route to SO".

2. [Optional] Enter comments in the Comments box to provide information to the next reviewer.
3. Click the **Route to [SO/PI]** button. The system will notify the recipient of a request that is pending their action.
 - If the Routing is successful, a message displays on the *Prior Approval Request* screen.



The image shows a notification box on the "Prior Approval Request" screen. The box has a green background and contains the text "Success: Your request was successfully routed". Above the notification, the page title "Prior Approval Request" is visible, along with links for "Withdrawal" and "View Request" with a help icon.

NOTE: The person who routed the Prior Approval Request can no longer edit the report. The modifying feature is now only available to a new reviewer.

12.24 Recall a Prior Approval Request

Prior Approval Requests that have been routed to a reviewer can be recalled by the previous reviewer. An SO may recall a request even if they were not the last reviewer.

After the status of the request becomes, *"Submitted to Agency"*, it can no longer be recalled.

To recall a request:

1. Select the **Recall** button from the *View Request* screen.
 - A message displays on the screen indicating that the request has been successfully recalled.

Prior Approval Request Withdrawal View Request ?

✓ Success: Your request was successfully routed

Request ID
25198

Principal Investigator (PI)
PI Name

Grants.gov Tracking
GRANTS123456789

Application ID
1 R01 A123456789

Project Title
Project Title

Justification
Enter justification here

Supporting Documents
Upload

| File name | Date Created | Action |
|----------------------------|--------------|--------|
| e PO1 - project 1 - R1.pdf | 05/19/2016 | View |

Cancel View History Recall

The request is now displayed in the *Modify Request* screen, and is available to be [Modified](#), [Saved](#), [Routed](#), [Deleted](#), [Submitted](#), [Canceled](#), or [View History](#).

12.25 View History of a Request

The *View History* screen enables users to view the progress of requests.

View History is an option before the request is submitted. The button is displayed at the bottom of the *Modify Request* or *View Request* screens.

Prior Approval Request Withdrawal - Modify Request ⓘ

Note: Required fields are marked with an *

Request ID
2040

Principal Investigator (PI)
Montoya, Inigo

Grants.gov Tracking
GRANT12345678P

Application ID
3R01AA123456-01

Project Title
Alcohol Brand Research Among Underage Drinkers

Justification*

Total remaining allowed limit is 4000 characters.

Supporting Documents

Upload Drag up to 10 files here to upload.

| File Name | Date Created | Action |
|----------------------------|--------------|---|
| e PO1 - project 1 - R1.pdf | 05/16/2016 | View Delete |

[Cancel](#) [View History](#) [Save](#) [Route](#) [Delete](#)

PIs and SOs access the **Modify** screen slightly differently.

Before Submission, **PIs** may access the link through the **Action** column in the *My Requests* hitlist and select **Modify** and then **View History**.

Prior Approval Request Withdrawal - View History ⓘ

Request ID
2015

Principal Investigator (PI)
PI Name 1


Application ID
1 R01 A123456-01

Project Title
Project Title

| Action Taken By | Event | Action Date | Request Status | Comment |
|-----------------|----------|-------------|----------------|---------|
| Actioner 1 | Initiate | 04/07/2016 | | |
| Actioner 1 | Route | 04/07/2016 | In Progress SO | test |
| Actioner 1 | Recall | 04/07/2016 | In Progress PI | |
| Actioner 2 | Initiate | 04/27/2016 | In Progress PI | |
| Actioner 2 | Route | 05/27/2016 | In Progress SO | |
| | Recall | 05/27/2016 | In Progress PI | |

Showing 1 to 6 of 6 entries

Before Submission **SOs** may access the link through the **Action** column of the *Search Prior Approval* hitlist and select **Modify** and then **View History**.

Prior Approval Request [Withdrawal](#) - [View History](#) 

| | | |
|---|---|---|
| Request ID 3011 | Principal Investigator (PI) PI Name | Application ID 1 R01 A123456-01 |
| Project Title Complement activation fragment C5a and C5aR1 Involvement in AD Pathogenesis | | |

| Action Taken By | Event | Action Date | Request Status | Comment |
|-----------------|----------|-------------|---------------------|---------|
| Actioner 1 | Initiate | 06/01/2016 | In Progress SO | |
| Actioner 1 | Submit | 06/02/2016 | Submitted to Agency | |

Showing 1 to 2 of 2 entries

Post Submission

View a History of Requests - Post Submission for SO

1. Login to eRA Commons
2. Click Prior Approval tab
3. Click Search for Requests
4. Search for Requests with a status of Submitted to Agency

Search Prior Approval Requests Back to Prior Approval

| | | | |
|--|---|---|---|
| Request ID <input type="text" value="request id"/> | Request Type <input type="text" value="Select a request type"/> | Request Status <input type="text" value="Submitted to Agency"/> | PI Lookup (by Last Name, First Name) <input type="text" value="Last name, First name"/> |
| Activity Code <input type="text" value="activity code"/> | IC <input type="text" value=""/> | Serial <input type="text" value="serial num"/> | Submission Date Range: From <input type="text" value="date start"/> |
| | | | Submission Date Range: To <input type="text" value="date end"/> |

5. When the results return, click View History

Show entries

| Request ID | Request Type | PI Name | Request Status | Application ID | Project Title | Actions |
|------------|--------------|-----------------|---------------------|-----------------|-----------------------------------|--|
| 5089 | 500K | 000000, SUSAN M | Submitted to Agency | OD | Test Title | View PDF View History |
| 5083 | Withdrawal | Deency Hency | Submitted to Agency | 2R01DC007073-07 | Conceptual System in the Impaired | View PDF View History |

6. The View History page will be presented.

Prior Approval Request500k - View History?

Request ID

8989

Principal Investigator (PI)

ASER, SNER, SANER,

Application ID

Project Title

Test Title

| Action Taken By | Event | Action Date | Request Status | Comment |
|-------------------|----------|-------------|---------------------|---------|
| ASER, SNER | Initiate | 09/12/2016 | In Progress PI | |
| ISAN, SNER, SANAN | Submit | 09/12/2016 | Submitted to Agency | |

Showing 1 to 2 of 2 entries

View a History of Requests - Post Submission for PI

1. Login to eRA Commons
2. Click Prior Approval tab
3. Select List My Requests
4. Click View History

| List my Requests ? | | | | | |
|--------------------------|--------------|-----------------------|-------------------|---|--------------------------|
| Show 10 entries | | | | | |
| « Back to Prior Approval | | | | | |
| Request ID | Request Type | Prior Approval Status | Application ID | Project Title | Action |
| 5092 | Withdrawal | In Progress PI | 1R01N0831083-01A1 | The Susclerosis channel in sclerosis | Modify |
| 5091 | Withdrawal | Submitted to Agency | 3R01HL092097-09 | Sulfo stroke therapeutic target in ischemic ischemic stroke | View PDF View History |

13 Research Performance Progress Report (RPPR) Module

The RPPR module allows extramural grantee institutions to electronically submit Research Performance Progress Reports (RPPR) to the Grants Management community.

RPPR module features include:

- Electronic initiation of an RPPR
- Electronic routing of an RPPR to authorizing officials at the applicant institution for review and approval prior to submission to the agency
- Viewing of RPPR routing history
- Error checking capabilities
- Electronic submission of an RPPR
- Creation of [Interim RPPR](#)
- Electronic submission of [Interim RPPR](#)
- Creation of [Final RPPR](#)
- Electronic submission of [Final RPPR](#)
- Ability for an SO can delegate authority to a PD/PI for submitting an RPPR
- PDF generated version stored in the electronic grant folder (Commons Status Information screen)

A detailed instruction guide exists online featuring additional field-by-field guidance for completing the report. Refer to the *NIH and Other PHS Agency RPPR Instruction Guide* (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf).

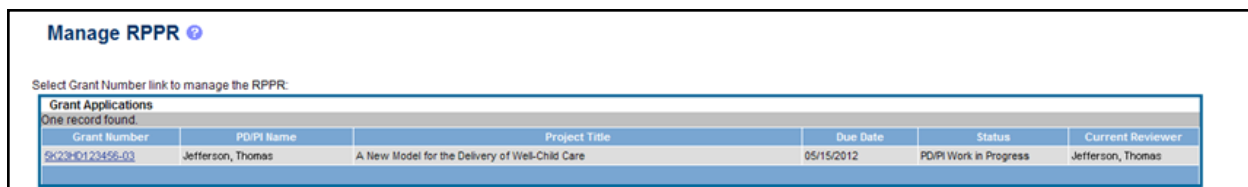
13.1 Manage RPPR Screen

The *Manage RPPR* screen is the portal into all RPPR functionality. The screen displays when you select the **RPPR** tab from the Commons menu and provides the following information related to your RPPR:

- **Grant Number**
- **PD/PI Name**
- **Project Title**
- **Due Date**
- **Status**
- **Current Reviewer**

To process your RPPR, select the grant number displayed as a hyperlink within the **Grant Number** column. Selecting this link opens the *RPPR Menu* screen from which you can access all features including initiating, editing, routing, etc.

Click here for sample image:



The screenshot shows the 'Manage RPPR' interface. At the top, it says 'Select Grant Number link to manage the RPPR:'. Below this is a table titled 'Grant Applications' with the note 'One record found.' The table has columns for Grant Number, PD/PI Name, Project Title, Due Date, Status, and Current Reviewer. The data row shows Grant Number 5K23HD123456-03, PD/PI Name Jefferson, Thomas, Project Title A New Model for the Delivery of Well-Child Care, Due Date 05/15/2012, Status PD/PI Work in Progress, and Current Reviewer Jefferson, Thomas.

| Grant Number | PD/PI Name | Project Title | Due Date | Status | Current Reviewer |
|-----------------|-------------------|---|------------|------------------------|-------------------|
| 5K23HD123456-03 | Jefferson, Thomas | A New Model for the Delivery of Well-Child Care | 05/15/2012 | PD/PI Work in Progress | Jefferson, Thomas |

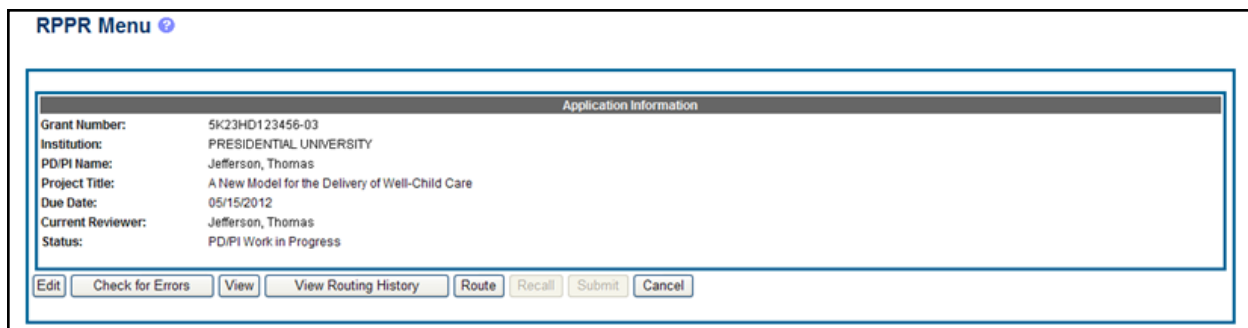
13.2 RPPR Menu

The *RPPR Menu* screen provides access to various functions used to complete and process your RPPR. You access these features using the buttons found on this screen.

The following buttons are found on the *RPPR Menu* screen:

- **Initiate**
- **Edit**
- **Check for Errors**
- **View**
- **View Routing History**
- **Route**
- **Recall**
- **Submit**

Click here for a sample image.



The screenshot shows the 'RPPR Menu' interface. It features a section titled 'Application Information' with the following details: Grant Number: 5K23HD123456-03, Institution: PRESIDENTIAL UNIVERSITY, PD/PI Name: Jefferson, Thomas, Project Title: A New Model for the Delivery of Well-Child Care, Due Date: 05/15/2012, Current Reviewer: Jefferson, Thomas, and Status: PD/PI Work in Progress. Below this information is a row of buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, and Cancel.

NOTE: Not all buttons will be enabled. Depending on your Commons role and/or the status of the report, some buttons may be disabled.

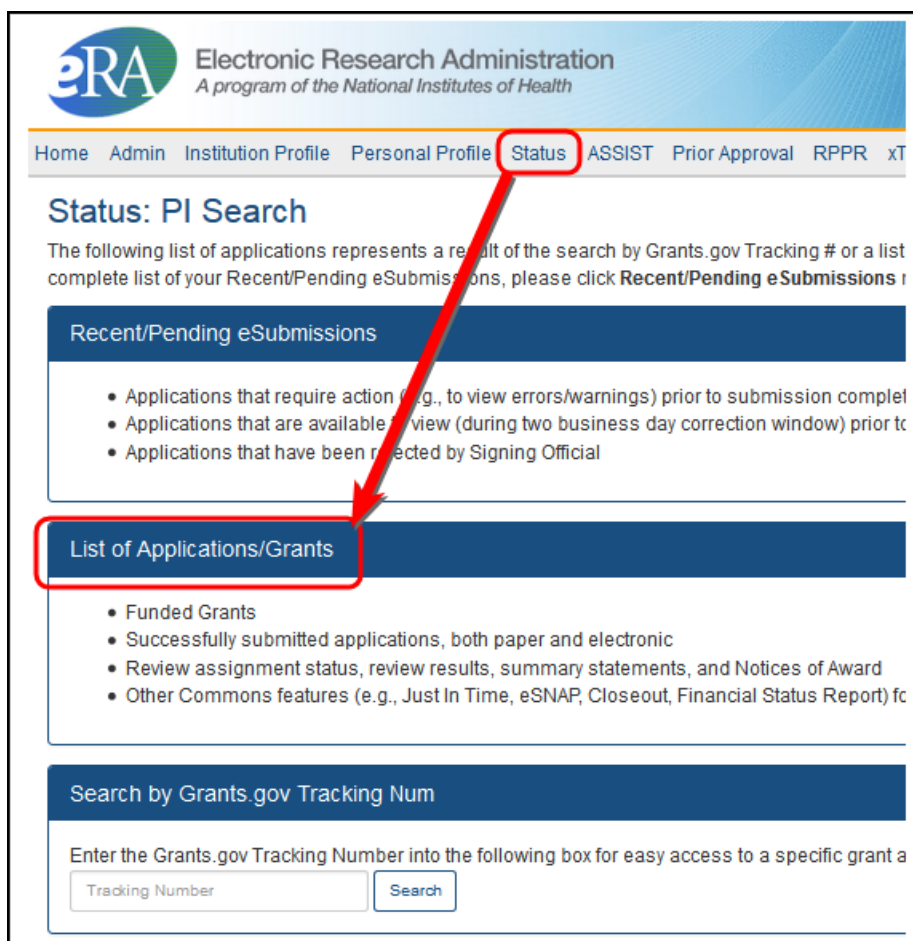
Individual help topics exist for each of the features. Please refer to the specific help topics linked below.

13.3 Initiating the RPPR

Only the PD/PI or the PD/PI delegate may initiate an RPPR. When there are multiple PIs (MPI), only the Contact PI or the PD/PI delegate of the Contact PI may initiate the report.

To initiate, the user can choose from one of two ways to access the RPPR functionality:

1. Access RPPR from Status.
 - a. Select the **Status** tab from the Commons menu options.
 - b. Select the **List of Applications/Grants** link from the *Status* screen or from the menu options.



- a. From the *Status Result - List of Applications/Grants* screen, locate the grant and select the **RPPR** link from the **Actions** drop-down menu in the **Available Actions** column

for the specific grant (use *Flat View*). The **RPPR** link for the current reporting period is available once the Notice of Award for the prior year has been issued. This link remains available until the RPPR for the current reporting year has been submitted.

For multi-year funded awards, the link will display as **RPPR Year <X>**, the <X> representing the reporting year. The link for a multi-year funded award is available two months prior to the RPPR due date for the current reporting period and remains available until the RPPR is submitted. Note that AHRQ has not yet implemented the RPPR for multi-year funded awards.

NOTE: While **RPPR Year <X>** links for multiple years may appear at the same time in *Status*, you are prevented from initiating a reporting year's progress report until the progress report(s) of the previous year(s) has been submitted.

Status Result - List of Applications/Grants

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|-----------------------------------|-----------------------|---|-------------------|---------------------|--|-------------|-----------------------------------|
| 2K23HD123456-02 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Awarded: Non-fellowships only | 08/17/2011 | |
| 1H23HD123456-01A1 | GRANT12345678P | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Awarded: Non-fellowships only | 07/13/2010 | Transmittal Sheet |
| 1H23HD123456-01 | GRANT87654321P | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Withdrawn by IC - Other Version Encumbered | 07/13/2010 | Transmittal Sheet |
| 2K23HD123456-03 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | | Pending | 08/17/2011 | RPPR |

Export to Excel Show Query Print Hlist

Status Result - List of Applications/Grants

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|--|-----------------------|--|----------------------|---------------------|----------------------------------|-------------|---|
| 1R03CA123456-01 | GRANT12300001P | All's Well That Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | Submission Complete | Administratively Withdrawn by IC | 11/08/2011 | Transmittal Sheet |
| 1R15CA234567-01A1 (MP) | GRANT111111111P | A Midsummer Night's Dream and Other Known Sleeping Disorders | SHAKESPEARE, WILLIAM | Submission Complete | Awarded: Non-fellowships only | 02/24/2010 | RPPR Year 2 RPPR Year 3 Transmittal Sheet Admin Supplements |
| 1R15CA654321-01 | GRANT12345678P | The Two Noble Kinsmen: A Study on Genetics and DNA | SHAKESPEARE, WILLIAM | Submission Complete | Pending IRG Review | 07/17/2013 | Transmittal Sheet |

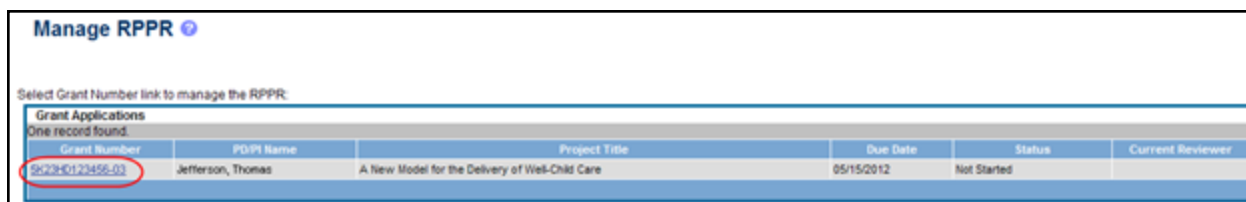
Export to Excel Show Query Print Hlist

-OR-

1. Access RPPR from **RPPR** tab.
 - a. Select the **RPPR** tab from the Commons menu options.

The *Manage RPPR* screen displays. *Manage RPPR* is used to view the progress reports to which the user has access and allows the user to select a progress report in order to perform various actions. PD/PIs or users delegated PD/PI updating authority uses the *Manage RPPR* screen to view their own progress reports. SOs and AOs use the screen to search for grants from their institutions and/or for grants routed to them for review.

- b. Select the specific grant by clicking the hyperlink in the **Grant Number** column on the *Manage RPPR* screen.



Manage RPPR ?

Select Grant Number link to manage the RPPR:

| Grant Number | PD/PI Name | Project Title | Due Date | Status | Current Reviewer |
|-----------------------------------|-------------------|---|------------|-------------|------------------|
| 1R15CA234567-01A1 | Jefferson, Thomas | A New Model for the Delivery of Well-Child Care | 05/15/2012 | Not Started | |

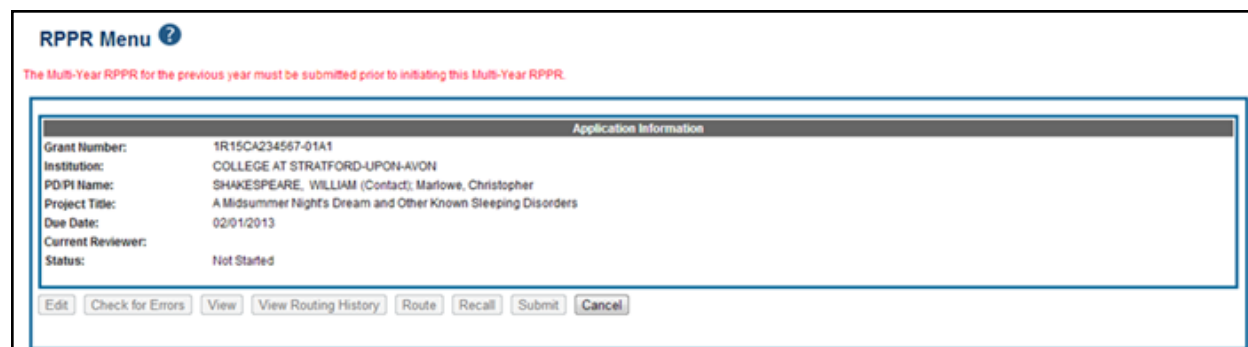
If an RPPR exists already, Commons displays the report for editing.

The *RPPR Menu* screen displays. The options for the uninitiated report are **Initiate** and **Cancel**. Once an RPPR is in progress, the buttons for other options are enabled.

NOTE: For multi-year funded awards, the following message displays when attempting to initiate an RPPR if the previous year's report has not been submitted:

The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.

In this case, the option to initiate is disabled.



RPPR Menu ?

The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.

| Application Information | |
|-------------------------|--|
| Grant Number: | 1R15CA234567-01A1 |
| Institution: | COLLEGE AT STRATFORD-UPON-AVON |
| PD/PI Name: | SHAKESPEARE, WILLIAM (Contact: Marlowe, Christopher) |
| Project Title: | A Midsummer Night's Dream and Other Known Sleeping Disorders |
| Due Date: | 02/01/2013 |
| Current Reviewer: | |
| Status: | Not Started |

The *RPPR Menu* screen includes the following fields:

Grant Number

This is the complete number of the grant

Grantee Institution

This field contains the name of the applicant's institution

PD/PI Name

The PD/PI of the grant award for which the progress report is being prepared. In the case of MPIs, a list of PD/PI names displays with the Contact PD/PI indicated by the word Contact.

Project Title

The project title of the grant

Due Date

NIH

The due date of the progress report for awards issued under the SNAP (Streamlined Noncompeting Award Process) provisions is the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15). If the award is not issued under SNAP provisions, the progress report is due the first of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/1). If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day. Progress reports for Fellowships are due two months before the beginning date of the next budget period. Occasionally the Notice of Award (NoA) will indicate a different due date which will supersede these dates. Grantees should consult the NoA to determine when SNAP procedures apply.

AHRQ

All AHRQ progress reports due in FY 2015 (10/1/14 – 9/30/15) and beyond are due 3 months before the anniversary of the award. For example, for an FY2014 award issued with a start date of 2/1/14, the annual progress report is due 11/1/14 (i.e., three months before the FY2015 budget period start date (i.e. anniversary date) of 2/1/15). However, if the budget period start date is between 1/1/15 and 4/1/15, grantees will not be penalized if the progress report is received 2 months before the next budget period start date rather than 3 months. If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day.

Current Reviewer

The name of the current reviewer or organization (e.g., PD/PI name, NIH). This value is blank before the RPPR is initiated.

Status

The current state of the progress report. Possible values are as follows: Not Started, PD/PI Work in Progress, Reviewer Work in Progress, and Submitted to Agency.

Buttons

The displayed and enabled buttons vary depending on the status of the RPPR and/or the limitations of the current user's role.

Initiate: Begins the RPPR process. Available for grants with a status of Not Started. Access is granted to PD/PIs and PD/PI delegates. An RPPR can be initiated even if required information in the Personal Profile and Institution Profile sections is missing. If any of this information is incorrect or missing, a prompt will appear to correct/complete the information after initiating the report. Processing may continue on the RPPR without making the corrections; however, the RPPR will not pass validations for submission to the agency until the errors are corrected.

Edit: Opens the RPPR for edits. Available for progress reports with a status of Work in Progress (WIP). Access is granted to PD/PIs or PD/PI delegates when the PD/PI is the current reviewer, AOs when the AO is the current reviewer, and SOs when the SO is the current reviewer. The Edit button allows the user to view and edit RPPR information.

View: Opens the RPPR report in PDF format, as it will be seen by the agency. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers. Until the RPPR is submitted to agency, the PDF report shows a status of Draft and a blank submission date.

Check for Errors: Checks the RPPR for any errors or warnings. Available for progress reports with a status of Work in Progress (WIP). Access is granted to any user with access to the grant. The RPPR can be validated at any time while in the status of WIP and can be validated multiple times.

View Routing History: Opens a page that displays a routing history table. Available for progress reports with a status of Work in Progress (WIP) or Submitted to Agency. Access is granted to PD/PIs, PD/PI delegates, and reviewers.

Route: Routes the RPPR to the next reviewer for further review or corrections. Available for progress reports with a status of Work in Progress (WIP). Access is granted to the current reviewer. A PD/PI delegate cannot route an RPPR to the next reviewer.

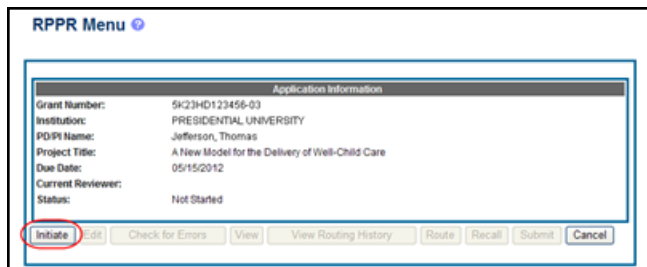
Recall: Recalls RPPRs that have been forwarded to another reviewer and resets the user as the current reviewer. Available for reports with a status of Work in Progress (WIP). Access is granted to the last reviewer (who recalls the report from the current reviewer). Signing Officials and PD/PIs can recall an RPPR even if they are not the last reviewer whenever it has a status of Reviewer Work in Progress. This is useful in situations when a RPPR has been routed to the wrong person or to someone who is unavailable.

Submit: Submits the RPPR to the Agency. Available for reports with a status of Work in Progress (WIP). Access is granted to the SO when the SO is the current reviewer and to the PD/PI when the PD/PI has been delegated Progress Report authority.

NOTE: A PD/PI with *Progress Report* authority cannot submit a non-SNAP or F RPPR.

Cancel: Closes the RPPR Menu screen and returns the user to the previous screen.

2. Select the **Initiate** button to begin the RPPR.



The screenshot shows the 'RPPR Menu' window. Inside, there is a table titled 'Application Information' with the following data:

| | |
|-------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 05/15/2012 |
| Current Reviewer: | |
| Status: | Not Started |

Below the table is a row of buttons: **Initiate** (highlighted with a red circle), Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, and Cancel.

Once initiated, Commons creates the report in a PD/PI Work in Progress status and sets the current reviewer. A message displays as follows:

The RPPR has been successfully initiated.

NOTE: If at any time initiation fails due to business rules validations, error or warning messages display on the screen.

Once initiated, the editing process can begin. The RPPR is accessed for editing via the *RPPR Menu* screen. The editing feature for single-project RPPRs is different from those of multi-project RPPRs. The steps for accessing each type of RPPR are outlined in other topics. Refer to [Accessing a Single-Project RPPR for Editing](#) or [Accessing a Multi-Project or Single-Project with Complicated Structure for Editing](#) as appropriate.

13.4 Navigation

The RPPR is completed using the eRA Commons system. The report in Commons consists of separate screens for each of the sections listed below:

- A. Cover Page
- B. Accomplishments
- C. Products
- D. Participants (only section D.1 for FRPPR)
- E. Impact

F. Changes (not used for FRPPR)

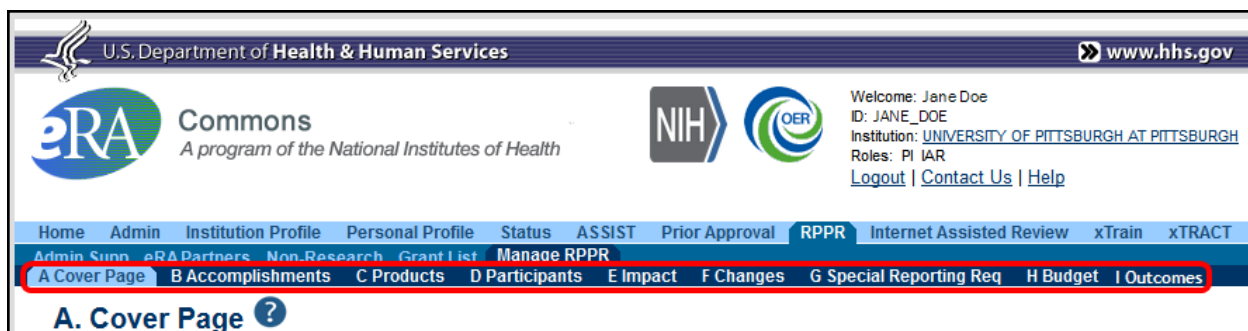
G. Special Reporting Requirements

H. Budget (not used for FRPPR)

I. Outcomes (only used for FRPPR)

Users may work on various sections in any order, however, it is important to click the **Save** button in the navigation bar before leaving a screen in order to retain data entered on that screen. Upon submission to the awarding agency, the system will generate a PDF of the progress report, which may be viewed from the RPPR Menu screen using the **View** button.

Once submitted, the Final RPPR, in PDF format, is accessible in Commons via the *Status Information* screen. Refer to the section of this document titled *Viewing the RPPR in Commons* on Page 271



Chapter 6 of the [NIH Research Performance Progress Report \(RPPR\) Instruction Guide](#) provides instructions for completing Sections A-I of the report.

13.5 How Do I Fill Out the RPPR Forms

Chapter 6 of the [NIH Research Performance Progress Report \(RPPR\) Instruction Guide](#) provides instructions for completing Sections A-I of the report.

Please refer to the following sections of the instruction guide when completing your report:

Cover Page - Section A (*PDF section 6.1, pg. 69*)

Accomplishments - Section B (*PDF section 6.2, pg 70*)

Products - Section C (*PDF section 6.3 , pg. 75*)

Participants - Section D (*PDF section 6.4, pg. 82*)

Impact - Section E (*PDF section 6.5, pg. 88*)

Changes - Section F (*PDF section 6.6, pg. 89*)

Special Reporting Requirements - Section G (*PDF section 6.7, pg. 91*)

Budget - Section H (*PDF section 6.8, pg. 102*)

Outcomes - Section I (*PDF section 6.9, pg. 104*)

13.6 Editing the RPPR

Once an RPPR is initiated, its status becomes *PD/PI Work in Progress* and it becomes available for editing. The PD/PI or delegate uses the **Edit** option for viewing and completing the report. Additionally, this option is available to the SO or AO when that user is the current reviewer of the report.

NOTE: For RPPRs with multiple PD/PIs (MPI awards), only the Contact PD/PI has access to the **Edit** feature unless the Contact PD/PI has granted progress report authority to other PD/PIs. Without this authority, MPIs can only view the RPPR PDF and its routing history.

There are two means of accessing the progress report for editing. These are similar methods used for initiating the report and are as follows:

1. Access RPPR from Status.
 - a. Select the **Status** tab from the Commons menu options.
 - b. Select the **List of Applications/Grants** link from the *Status* screen or from the menu options.

Electronic Research Administration
A program of the National Institutes of Health

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR xT

Status: PI Search

The following list of applications represents a result of the search by Grants.gov Tracking # or a list complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** if you want to view a complete list of your Recent/Pending eSubmissions.

Recent/Pending eSubmissions

- Applications that require action (e.g., to view errors/warnings) prior to submission complete
- Applications that are available for review (during two business day correction window) prior to submission
- Applications that have been rejected by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award for funded grants
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for funded grants

Search by Grants.gov Tracking Num

Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application.

Tracking Number

- c. From the *Status Result - List of Applications/Grants* screen, locate the grant and select the **RPPR** link from the **Action** column for the specific grant. For multi-year funded awards, the link will display as **RPPR Year <X>**, the <X> representing the reporting year.

Status Result - List of Applications/Grants

Notes & Tips:

- **Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|-----------------------------------|-----------------------|---|-------------------|---------------------|--|-------------|-----------------------------------|
| 5K23HD123456-02 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Awarded. Non-fellowships only | 08/17/2011 | |
| 1K23HD123456-01A1 | ORANT12345678P | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Awarded. Non-fellowships only | 07/13/2010 | Transmittal Sheet |
| 1K23HD123456-01 | GRANT87654321P | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Withdrawn by IC - Other Version Encumbered | 07/13/2010 | Transmittal Sheet |
| 5K23HD123456-03 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | | Pending | 08/17/2011 | RPPR |

Export to Excel Show Query Print History

Status Result - List of Applications/Grants ?

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please wait instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click [List of Applications/Grants](#) menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | e Submission Status | Current Application Status | Status Date | Action |
|--|-----------------------|--|----------------------|---------------------|----------------------------------|-------------|---|
| 1R03CA123456-01 | GRANT12300001P | All's Well That Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | Submission Complete | Administratively Withdrawn by IC | 11/08/2011 | Transmittal Sheet |
| 1R15CA234567-01A1 (MP) | GRANT11111111P | A Midsummer Night's Dream and Other Known Sleeping Disorders | SHAKESPEARE, WILLIAM | Submission Complete | Awarded, Non-fellowships only | 02/24/2010 | RPPR Year 2 RPPR Year 3 Transmittal Sheet Admin Supplements |
| 1R15CA654321-01 | GRANT12345678P | The Two Noble Kinsmen: A Study on Genetics and DNA | SHAKESPEARE, WILLIAM | Submission Complete | Pending IRG Review | 07/17/2013 | Transmittal Sheet |

Export to Excel Show Query Print History

-OR-

1. Access RPPR from **RPPR** tab.
 - a. Select the **RPPR** tab from the Commons menu options.
 - b. Select the specific grant by clicking the hyperlink in the **Grant Number** column on the *Manage RPPR* screen. SOs/AOs must perform a query first.

Manage RPPR ?

Select Grant Number link to manage the RPPR:

| Grant Number | PD/PI Name | Project Title | Due Date | Status | Current Reviewer |
|---------------------------------|-------------------|---|------------|-------------|------------------|
| 5C23HD123456-03 | Jefferson, Thomas | A New Model for the Delivery of Well-Child Care | 05/15/2012 | Not Started | |

The appropriate *RPPR Menu* screen – either for single-project or multi-project RPPRs – displays with editing options.

13.6.1 Accessing Single-Project RPPR for Editing

For single-project awards, the *RPPR Menu* screen displays with buttons for the following available options:

Edit

Check for Errors

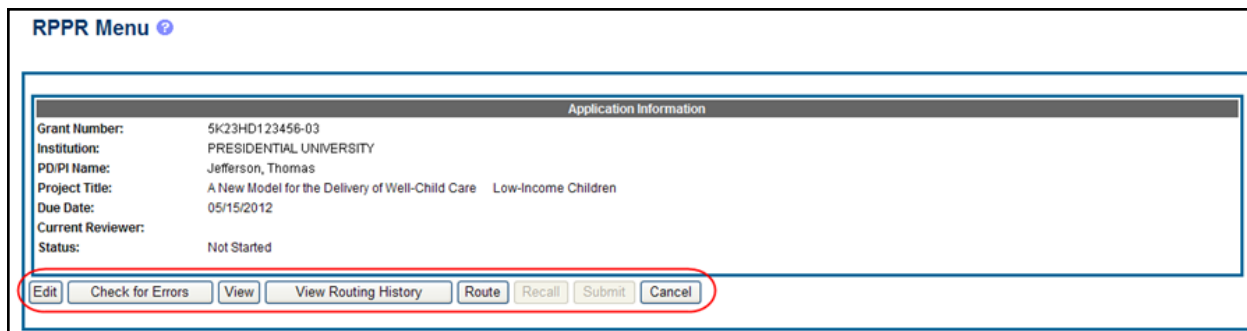
View

View Routing History

Route

Cancel

NOTE: Once an RPPR has been routed for review, the **Recall** and **Submit** buttons are enabled. These functions are covered in other topics.



The screenshot shows the 'RPPR Menu' interface. It features a table titled 'Application Information' with the following data:

| Application Information | |
|-------------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care Low-Income Children |
| Due Date: | 05/15/2012 |
| Current Reviewer: | |
| Status: | Not Started |

Below the table is a row of buttons: **Edit**, **Check for Errors**, **View**, **View Routing History**, **Route**, **Recall**, **Submit**, and **Cancel**. The **Edit** button is highlighted with a red circle.

Select the **Edit** button to open the RPPR for editing.

Refer to the section of this document titled [Editing the RPPR Forms on Page 247](#) for more information on editing the forms.

13.6.2 Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing

A *multi-project RPPR* is a progress report submitted for a funded program (activity code) which has multiple, interrelated components sharing a common focus or objective.

A *component* (for the purposes of applications and progress reports) is a distinct, reviewable part of the multi-project application or progress report for which there is a business need to gather detailed information identified in the funding opportunity announcement (FOA).

Components typically include general information (component organization, project periods, project title, etc.), performance sites, personnel, and budget. The FOA defines the construction and naming convention for the application; the funded application defines the construction and naming convention for the progress report.

For multi-project awards, the *RPPR Menu* screen displays with buttons for the following available options found within the **Application Information** section of the screen:

View

View Routing History

Route

Cancel

NOTE: Once an RPPR has been routed for review, the **Recall** and **Submit** buttons are enabled. These functions are covered in other topics.

RPPR Menu ?

Application Information
 Grant Number: 5P20MD123456-01
 Institution: UNIVERSITY OF THE US
 PD/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
 Project Title: Sample Research Project
 Due Date: 01/01/2014
 Current Reviewer: Franklin, Benjamin
 Status: PD/PI Work in Progress

View View Routing History Route Recall Submit Cancel

Does the project have components? ☒ Yes ☐ No ?

| ID | Project Title | Program Director(PD)/ Principal Investigator(PI) Name | Actions |
|---------|-------------------------|--|---|
| Overall | Sample Research Project | Washington, George | Edit Check for Errors |

Component Type Component Project Title

Select One

One item found.

| Component ID | Component Type | Component Project Title | Actions |
|--------------|----------------|----------------------------------|--|
| Core-6773 | Core | Core for Sample Research Project | Edit Component Check for Errors Delete |

Overall

Below the **Application Information** is a table showing the Overall **ID**, **Project Title**, **Program Director/Principal Investigator (PD/PI) Name**, and an **Actions** column with links.

The *RPPR Menu* for a multi-project RPPR without components does not include the component table. Additionally, the **No** radio button on the **Does the project have components?** field is selected.

Refer to the figure below for an example of a single-project with complicated structure RPPR.

RPPR Menu ?

Application Information
 Grant Number: SU10HD123456-15
 Institution: UNIVERSITY OF THE US
 PD/PI Name: WASHINGTON, GEORGE
 Project Title: Another Sample Research Project
 Due Date: 02/01/2014
 Current Reviewer: WASHINGTON, GEORGE
 Status: PD/PI Work in Progress

View View Routing History Route Recall Submit Cancel

Does the project have components? ☐ Yes ☒ No ?

| ID | Project Title | Program Director(PD)/ Principal Investigator(PI) Name | Actions |
|---------|---------------------------------|--|---|
| Overall | Another Sample Research Project | WASHINGTON, GEORGE | Edit Check for Errors |

To edit the RPPR for the Overall, select the **Edit** link from the **Actions** column.

RPPR Menu ?

Application Information

Grant Number: 5P20MD123456-01
Institution: UNIVERSITY OF THE US
PD/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
Project Title: Sample Research Project
Due Date: 01/01/2014
Current Reviewer: Franklin, Benjamin
Status: PD/PI Work in Progress

View View Routing History Route Recall Submit Cancel

Does the project have components? ☒ Yes ☐ No ?

| ID | Project Title | Program Director(PD)/ Principal Investigator(PI) Name | Actions |
|---------|-------------------------|--|---|
| Overall | Sample Research Project | Washington, George | Edit Check for Errors |

Component Type Component Project Title
Select One Add Component

One item found.

| Component ID | Component Type | Component Project Title | Actions |
|--------------|----------------|----------------------------------|--|
| Core-6773 | Core | Core for Sample Research Project | Edit Component Check for Errors Delete |

Individual Components

If the award has individual components (e.g., a multi-project award), *each* component must be reported in the RPPR. To add components, select the **Yes** radio button next to the question **Does the project have components?** Selecting **Yes** displays the **Add Component** feature for the individual components.

NOTE: Any individual components previously added will already be displayed in a table beneath this feature. In this scenario, the **Does this project have components?** option is disabled. This includes components which were part of a previously submitted progress report for the grant.

To add an individual component:

1. Select the correct option from the **Component Type** drop-down list.
2. Enter the **Component Project Title**.
3. Select the **Add Component** button.
Added individual components display in a table beneath the Overall, showing the **Component ID**, **Component Type**, **Component Project Title**, and available links in the **Actions** column.
4. Select the **Edit Component** link in the **Actions** column for the component to edit its RPPR.

Refer to the section of this document titled *Editing the RPPR Forms on Page 247* for more information on editing the RPPR forms.

Click here to view a sample image.

RPPR Menu ?

Application Information

Grant Number: 5P20MD123456-01
 Institution: UNIVERSITY OF THE US
 PD/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
 Project Title: Sample Research Project
 Due Date: 01/01/2014
 Current Reviewer: Franklin, Benjamin
 Status: PD/PI Work in Progress

View View Routing History Route Recall Submit Cancel

Does the project have components? ☒ Yes ☐ No ?

| ID | Project Title | Program Director(PD)/ Principal Investigator(PI) Name | Actions |
|---------|-------------------------|--|---|
| Overall | Sample Research Project | Washington, George | Edit Check for Errors |

Component Type * Component Project Title

Select One Add Component

Select One

Core
 Admin Core
 Project
 Training
 Career Development
 Other

| Component Type | Component Project Title | Actions |
|----------------|-------------------------|--|
| | My sample project | Edit Component Check for Errors Delete |

Individual components can be removed from the RPPR by selecting the corresponding **Delete** link from the **Actions** column of the specific component, followed by the **OK** button on the confirmation pop-up message. *The delete option is not available for Overall.*

IMPORTANT: If you choose to delete a component, all data related to this component – including all budget data – will be lost. ***This data cannot be recovered once it has been deleted.***

13.6.3 Editing the RPPR Forms

After selecting the appropriate editing option, the RPPR section *A. Cover Page* displays. The *Cover Page* includes information about the grant, PD/PI, signing and administrative officials, organization, and project/reporting/budget periods. Some of this information may be auto-populated. For more information on the *Cover Page*, refer to section 6.1 *Section A – Cover Page* located in the [NIH Research Performance Progress Report \(RPPR\) Instruction Guide](#).

1. Update the information as necessary and select the **Save** button.

The *Cover Page* includes tabs at the top and links at the bottom of the page for navigating to the other sections (e.g., **Accomplishments**, **Participants**), which may be completed in any order. Before navigating to and from any of these sections, it is always necessary to select the **Save** button to save all changes on the current page. Navigating away from any page on the RPPR without selecting **Save** results in the loss of any information entered prior to the last save.

□

2. Sections can be completed in any order. To navigate and populate the other sections of the RPPR, select the appropriate link from the top or bottom of the page. The same navigational links appear on each section of the RPPR.
3. Complete the appropriate fields of the report.

Details for completing each section are discussed in the Instruction Guide (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf). Many of the fields on these pages, however, behave in a similar manner.

Click here to display examples of common field types.

Add New

To use the Add/New feature, enter or select data into the appropriate fields. Select the **Add/New** button to add the data to the table. After being added, items can be edited or deleted from the table using the **Action** links.

or provide the following for each foreign country: Dollar Amount Country

| Amount of Award Spent in Foreign Countries | | |
|--|-----------|---|
| Dollar Amount | Country | Action |
| 5000 | AUSTRALIA | Edit Delete |

Text Box

All text boxes on the RPPR have character limits. The number of characters available is reflected beneath each text box as characters are entered.

List the major goals below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

The major goal of this project is...

Total remaining allowed limit is 7964 characters.

Changing Saved Responses

While in WIP status, answers may be changed. A warning message displays as follows:

The entered/uploaded response will be deleted. Do you wish to continue?

The user editing the information can choose to **Continue** or **Cancel** the action. Choosing **Continue** deletes the previous response, removes any attachments, and disables the relevant fields associated with the question. Choosing **Cancel** cancels the change.

4. Select the **Save** button before navigating to the next page.
5. To return to the *RPPR Menu*, select the **Cancel** button.

When an RPPR is ready for review and submission, it is routed to the next reviewer. [Refer to the section of this document titled *Routing the RPPR on Page 265*](#)

13.6.4 Editing Inclusion Enrollment Data

This topic discusses inclusion data in the Inclusion Management System (IMS) as accessed and processed via your RPPR. For more information on IMS or accessing IMS via Commons, please refer to the [IMS Online Help](#) or the [Instructions for Accessing the Inclusion Management System \(IMS\) via Commons Status](#).

To update inclusion enrollment data, select the **Inclusion** link from question **G.4.b** of section **G. Special Reporting Requirements**. For additional information on inclusion procedures in the RPPR, please review [Chapter 6.7 Section G–Special Reporting Requirements of the NIH and Other PHS Agency Research Performance Progress Report \(RRPR\) Instruction Guide](#).

IMPORTANT: Before selecting the **Inclusion** link, select the **Save** button on the RPPR to save all of your work in **Section G**. Failure to do so will result in a loss of data on your report.

NOTE: If this link is selected more than 60 days before the progress report due date, the following warning is displayed:

Based on the due date of this RPPR, inclusion data is not yet needed. If you proceed, access to the inclusion data via Commons/Status will be blocked. You cannot undo this action. Are you sure you want to proceed?

Selecting **Cancel** will abort the action and IMS will not be opened. Continuing will result in inclusion data being blocked for editing when accessed via Commons Status (**View** action only). In this event, you will see the following message when accessing via Status: *RPPR has been initiated. At this time, the data is editable accessing via RPPR only.*

The ability to edit IDRs via the Commons Status module will be restored after the successful submission of the RPPR and until the award of the current year.

Click this link to display an image of the screen.

G.4 Human Subjects

G.4.a Does the project involve human subjects? ☒ Yes ☐ No

Is the research exempt from Federal regulations? ☐ Yes ☒ No
If yes, check appropriate exemption number(s).
☐ E1 ☐ E2 ☐ E3 ☐ E4 ☐ E5 ☐ E6

Does this project involve a clinical trial? ☒ Yes ☐ No
If yes, is this an NIH-defined Phase III Clinical Trial? ☐ Yes ☒ No

G.4.b Inclusion Enrollment Data

Please review the box below to determine if this project meets the definition of clinical research and requires the reporting of cumulative enrollment of subjects and the distribution of sex/gender, ethnicity and race. [Click here](#) for complete instructions about this requirement.

Inclusion Enrollment Report

Please click on the link below to view and update inclusion data records associated with this award.

[Inclusion](#)

G.4.c ClinicalTrials.gov

The *Inclusion–Manage Inclusion Data Records (IDRs)* screen displays showing the Inclusion Data Records (IDRs) with a status of *Requires Updates*. Once cumulative form updates have been made as required, the status of the IDR(s) becomes *Inclusion Updated*. However, this only occurs when cumulative data is updated. It is possible to see multiple IDRs in difference statuses.

Click this link to display an image of the screen for a single project.

Inclusion- Manage Inclusion Data Records (IDRs)

Grant #: 5R01CA123456-03
PI Name: Shakespeare, William

[Return to RPPR](#) [Submit New Planned Inclusion Record](#)

| IDR # | IDR Status | Study Title | Last Updated Date | Action |
|--------|------------------|------------------------------|---------------------|---|
| 161587 | Requires Updates | This is a Sample Study Title | 06/10/2014 12:13 AM | View Edit Planned Enrollment Edit Cumulative Enrollment |

Click this link to display an image of the screen for a multi-year funded award.

Inclusion- Manage Inclusion Data Records (IDRs)

Grant #: 1R01CA654321-01
PI Name: Shakespeare, William

[Return to Progress Report](#)

| IDR # | IDR Status | Study Title | Last Updated Date | Action |
|---|--------------------------------|--|---------------------|---|
| FY: 2015 Submit New Planned Inclusion Record | | | | |
| 1010414 | Previous FY Data | The Sample Study Title of This IDR | 09/12/2015 01:17 PM | View Edit Planned Enrollment Edit Cumulative Enrollment |
| 1010477 | Previous FY Data | Another Study Title to Another Sample IDR | 09/12/2015 01:17 PM | View Edit Planned Enrollment Edit Cumulative Enrollment |
| 1026222 | Received by Agency | Here is an Example of a Study Title Too Long to Disp... More | 09/23/2015 02:57 PM | View Edit Planned Enrollment Edit Cumulative Enrollment |
| FY: 2014 | | | | |
| 1010414 | Accepted (Original Submission) | The Sample Study Title of This IDR | 09/12/2014 01:11 PM | View |
| 1010477 | Accepted (Original Submission) | Another Study Title to Another Sample IDR | 09/12/2014 01:11 PM | View |

For multi-year funded awards, only inclusion counts for the **current** IDR fiscal year can be reported. Once an RPPR is considered late, you will not be able to update and submit inclusion data through the IMS. IMS will indicate this with a message as follows: *Because this RPPR is late, the Inclusion Management System is unable to accept the data.*

RPPR for current sequential year of multi-year award will be considered late after corresponding anniversary of the budget/project period start date. For example, the RPPR for sequential year 1 is late after 1st anniversary of the budget/project period start date.

Select the **Edit Cumulative Enrollment** link in the **Action** column to access the *Edit Cumulative Inclusion Data* screen and perform the required updates.

The *Edit Cumulative Inclusion Data* screen contains the following information:

Header Fields

- **Grant #**
- **PI Name**

The name of the contact PI on the application record.

- **Inclusion Data Record (IDR) #**

Displays the system-generated identification number of the inclusion data record.

- **IDR Status**

Shows the status of the record.

- **Study Title**

The study title of the IDR, pre-populated with the existing title and editable.

Cumulative Inclusion Enrollment Report Fields

- **Study Title**

Displays the study title for the IDR, pre-populated from the Planned Enrollment Form.

- **Comments**

An optional text field for entering cumulative enrollment comments. If any comments for cumulative form were entered before, this field is pre-populated when editing an existing IDR.

The cumulative enrollment form includes racial categories along the left side the of the table and ethnic categories, divided by sex/gender, along the top of the table. The individual enrollment

count cells are editable and set to zero by default, when populating a new IDR. When editing an existing form, these values are pre-populated with any other value previously entered. The total fields are calculated by IMS and sum up as rows and columns accordingly. The total values are not editable fields.

NOTE: The cumulative inclusion form includes fields for entering Unknown/Not Reported race, ethnicity, and sex/gender data.

Update the values in the individual enrollment count cells as necessary, and select the **Save** button. To leave the form without saving any changes, select the **Cancel** button instead. Saving and canceling both return you to the *Manage Inclusion Data Records* screen.

POLICY: For additional information on racial and ethnic categories or inclusion policy and procedures, refer to [PHS Supplemental Instructions for Human Subjects](#) or the [OER inclusion web page](#).

Click this link to display an image of the screen.

Edit Cumulative Inclusion Data ?

Grant #: 1P20NR123456-01A1
PI Name: SHAKESPEARE, WILLIAM
Inclusion Data Record (IDR) #: 1026033
IDR Status: Grantee Updates in Progress
Study Title: Sample Study Title for this Sample IDR

Cumulative Inclusion Enrollment Report

*Required field(s)

*Study Title: Sample Study Title for this Sample IDR

Comments: These are my sample comments...

| Racial Categories | Ethnic Categories | | | | | | | | | Total | |
|---|------------------------|------------|----------------------|--------------------|-----------|----------------------|--------------------------------|----------|----------------------|------------|--|
| | Not Hispanic or Latino | | | Hispanic or Latino | | | Unknown/Not Reported Ethnicity | | | | |
| | Female | Male | Unknown/Not Reported | Female | Male | Unknown/Not Reported | Female | Male | Unknown/Not Reported | | |
| American Indian/ Alaska Native | 33 | 60 | 0 | 25 | 5 | 0 | 2 | 1 | 0 | 126 | |
| Asian | 21 | 20 | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 43 | |
| Native Hawaiian or Other Pacific Islander | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| Black or African American | 12 | 15 | 1 | 2 | 1 | 0 | 0 | 0 | 0 | 31 | |
| White | 27 | 40 | 2 | 5 | 10 | 0 | 1 | 2 | 0 | 87 | |
| More Than One Race | 3 | 4 | 0 | 10 | 10 | 0 | 0 | 0 | 0 | 27 | |
| Unknown or Not Reported | 1 | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 0 | 3 | |
| Total | 97 | 139 | 3 | 42 | 28 | 2 | 3 | 3 | 0 | 317 | |

Save Cancel

IMS will perform validations to make sure the data can be saved. Warnings or errors may appear on the screen preventing you from saving your information.

- If you enter and save 0s on the form when enrollment data previously was migrated from the previous NIH inclusion data system, you will receive a warning message before the data can be saved

Warning: You are about to submit zeroes for your cumulative inclusion enrollment data when data in the previous OMB-approved format exists. Would you like to proceed?

Select **Proceed** to continue or **Cancel** to abort the action.

- Planned enrollment count overall total must be greater than 0 before cumulative enrollment data can be entered. If planned enrollment counts equal 0, you will receive the following error:

Planned Enrollment count must exist before entering Cumulative enrollment Data

- If an overall total value is less than the prior year total, you will receive a warning message before data can be saved:

Warning: Some (or all) enrollment counts are less than previous FY. Do you want to continue?

After updating the cumulative enrollment data, the status of the IDR(s) status will change to *Inclusion Updated* and the links for editing the information remain available. This status only occurs when cumulative data is updated. Updating the planned data does not meet the requirement of the progress report. When only planned data is updated, the IDR status remains at *Requires Updates*.

13.6.4.1 Changes to Planned Enrollment

If there are changes from the planned enrollment originally approved for funding, contact the program officer to discuss updating/revising the planned enrollment. Please refer to [Chapter 6.7 Section G–Special Reporting Requirements of the NIH and Other PHS Agency Research Performance Progress Report \(RRPR\) Instruction Guide](#) for more information.

Select the **Edit Planned Enrollment** link in the **Action** column of the *Inclusion–Manage Inclusion Data Records (IDRs)* screen to access the *Edit Planned Inclusion Data* screen.

The *Edit Planned Inclusion Data* screen contains the following information:

Header Fields

- **Grant #**
- **PI Name**

The name of the contact PI on the application record.

- **Inclusion Data Record (IDR) #**

Displays the system-generated identification number of the inclusion data record.

This field is displayed only when editing existing IDR

- **IDR Status**

Shows the status of the record.

This field is displayed only when editing existing IDR

- **Study Title**

The study title of the IDR, pre-populated with the existing title and editable when editing an IDR.

This field is displayed only when editing existing IDR

Click this link to display an image of the screen.

Edit Planned Inclusion Data?

Grant #: 1P20NR123456-01A1
 PI Name: SHAKESPEARE, WILLIAM
 Inclusion Data Record (IDR) #: 1026033
 IDR Status: Grantee Updates in Progress
 Study Title: Sample Study Title for this Sample IDR

Planned Enrollment Report

*Required field(s)

*Study Title: Sample Study Title for this Sample IDR

*Foreign/Domestic: Domestic

Comments: These are sample comments that you can enter into this field...

| Racial Categories | Ethnic Categories | | | | Total | |
|---|------------------------|------------|--------------------|-----------|------------|--|
| | Not Hispanic or Latino | | Hispanic or Latino | | | |
| | Female | Male | Female | Male | | |
| American Indian/ Alaska Native | 35 | 58 | 25 | 5 | 123 | |
| Asian | 20 | 20 | 0 | 0 | 40 | |
| Native Hawaiian or Other Pacific Islander | 0 | 0 | 0 | 0 | 0 | |
| Black or African American | 10 | 18 | 0 | 0 | 28 | |
| White | 30 | 38 | 4 | 6 | 78 | |
| More Than One Race | 2 | 4 | 10 | 10 | 26 | |
| Total | 97 | 138 | 39 | 21 | 295 | |

Planned Inclusion Enrollment Report Fields

- **Study Title**

The study title of the IDR, pre-populated with the existing title and editable when editing an IDR.

For a new IDR, this field displays blank. Enter the new IDR's study title into the field. This is required.

- **Foreign/Domestic**

This field indicates whether the IDR involves participants from a non-US site (i.e., foreign) or a US site (i.e., domestic). This field is pre-populated when editing an existing IDR.

When creating a new IDR, select the value from the drop-down list. This is a required field.

- **Comments**

An optional text field for entering comments. This field is pre-populated when editing an existing IDR and blank when creating a new IDR. If editing existing Planned Enrollment, you should first discuss with the Program Officer and may want to consider adding a comment here to explain the change.

The planned enrollment form includes racial categories along the left side the of the table and ethnic categories, divided by sex/gender, along the top of the table. The individual enrollment count cells are editable and set to zero by default, when populating a new IDR. When editing an existing form, these values are pre-populated with any other value previously entered. The total fields are calculated by IMS and sum up as rows and columns accordingly. The total values are not editable fields.

POLICY: For additional information on racial and ethnic categories or inclusion policy, refer to [PHS Supplemental Instructions for Human Subjects](#) or the [OER inclusion web page](#).

Update the values in the individual enrollment count cells as necessary, and select the **Save** button. To leave the form without saving any changes, select the **Cancel** button instead. Saving and cancelling both return you to the *Inclusion–Manage Inclusion Data Records* screen.

IMS will perform validations to make sure the data can be saved. Warnings or errors may appear on the screen preventing you from saving your information.

- If you enter and save 0s on the form when enrollment data previously was migrated from the previous NIH inclusion data system, you will receive a warning message before the data can be saved:

Warning: You are about to submit zeroes for your planned enrollment when data in the previous OMB-approved format exists. Would you like to proceed?

Select **Proceed** to continue or **Cancel** to abort the action.

13.6.4.2 No Inclusion Data Records Provided

When inclusion monitoring is required and no IDRs exist, RPPR system will NOT allow the submission of the progress report without IDR(s). For the current FY it will display an error message and require that you either submit a new enrollment record or provide an explanatory comment for the missing IDRs.

Click this link for an image of the screen.

Inclusion- Manage Inclusion Data Records (IDRs) ?

Grant #: 5R01NR123456-04
PI Name: Shakespeare, William

[Return to Progress Report](#) [Submit New Planned Inclusion Record ?](#)

NIH policy requires inclusion to be monitored, but no inclusion data record(s) (IDRs) have been provided. Please submit inclusion records by clicking the link above or provide an explanation in the box below (1000 characters max).

[Add to Progress Report](#) [Cancel and go back](#)

This is true for the current FY of a multi-year award as well. For the past FYs (when the progress report is late), a standard message is displayed in lieu of the error message as follows: *NIH policy requires inclusion to be monitored, but no inclusion data record(s) (IDRs) have been provided.*

This standard message will appear on both the screen and the PDF version of the progress report.

Inclusion- Manage Inclusion Data Records (IDRs) ?

Grant #: 1R15GM123456-01
PI Name: Shakespeare, William

[Return to Progress Report](#)

NIH policy requires inclusion to be monitored, but no inclusion data record(s) (IDRs) have been provided. Please submit inclusion records by clicking the link above or provide an explanation in the box below (1000 characters max).

2015 [Submit New Planned Inclusion Record](#)

[Add to Progress Report](#) [Cancel and go back](#)

2014

NIH policy requires inclusion to be monitored, but no inclusion data record(s) (IDRs) have been provided.

To provide an explanation, enter your comments into the provided text box and select the **Add to Progress Report** button. For multi-year funded awards, the ability to provide an explanation is available only for the current year.

NOTE: Selecting any of the links or buttons other than **Add to Progress Report** will cancel the action of adding and saving your comments. Any entered comments will be lost unless you select the **Add to Progress Report** button.

The entered explanation is viewable on the RPPR PDF and on the *Inclusion–Manage Inclusion Data Records (IDRs)* screen when accessed via Commons Status. For information on access through Commons Status, refer to the [IMS Online Help](#) or the [Instructions for Accessing the Inclusion Management System \(IMS\) via Commons Status](#).

NOTE: Submitting a new IDR after the submission of this explanation, but before submission of the RPPR to Agency, removes the explanation comment from the progress report. See the section below for information on submitting a new planned inclusion record.

13.6.4.3 Submit New Planned Inclusion Record

Select the **Submit New Planned Inclusion Record** link to access the *Edit Planned Inclusion Data* screen and submit planned enrollment and create a new IDR. For multi-year funded awards, this link is available only for the current fiscal year. Upon a successful save of a new IDR, attributes (Study Title, Foreign/domestic indicator/planned comments), Planned Inclusion Data (as entered), and Cumulative Inclusion Data (as zeroes) are also created; the new IDR is assigned a unique IDR #; and the IDR status is set to Grantee Updates in Progress (when accessing through Status in Commons).

13.6.4.4 Inclusion Data Record Statuses

Throughout the process from creation to submission to Agency, an inclusion data record will take on various statuses depending on the action completed against it. These different statuses aid in determining the current point in the work flow, pending needs and requirements, and past actions taken. An IDR's status also determines what action(s) can be performed against it. IDRs requiring updates can be edited, while IDRs accepted by the Agency can only be viewed.

The following list gives an explanation of each status.

Accepted (PI Revisions): Grantee has modified the IDR after original submission, but before release of the award

Accepted (Original Submission): The IDR has been accepted at award issuance based on what was originally submitted. (Data migrated from the previous data system may also have this status when awarded.)

Grantee Updates in Progress: Grantee user has created the IDR; Grantee user has initiated updates on an IDR (Edit Planned or Edit Cumulative); and/or SO has routed an IDR back to the PI

Inclusion Updated: Grantee has updated cumulative (actual) enrollment counts via the RPPR module in Commons

Previous FY Data: Data from previous fiscal year has been rolled forward into the next project record

Pending SO: IDR has been routed to the SO

Received by Agency: IDR Form (Planned or Cumulative) has been received as part of the electronic application submission (i.e., Grants.gov/eSub or ASSIST); Grantee user (SO) has routed the IDR via IMS in the Commons Status module to the Agency; Agency user has created a new IDR in IMS

Received by Agency – RPPR: Grantee user submitted IDR to Agency as part of the Research Performance Progress Report (RPPR)

Requires Updates: Grantee user accessed the inclusion data via the RPPR module in Commons; Grantee user has created a new Planned Inclusion Form via the RPPR module in Commons

13.6.4.5 When Should I Access IMS via the Status Module?

IMS is used to view and maintain inclusion data associated with your grant(s) and can be accessed in one of two ways, both through the eRA Commons system: via the **Status** module –or– via the **RPPR Section G. Special Reporting Requirements**.

When to Use the Status Module Instead of RPPR

There are a number of reasons why you might need to access inclusion data through Commons Status rather than through your progress report. For example:

- Before award of a competitive application, changes may be necessary to the inclusion data submitted with the application via Grants.gov.
- Post-award, there may be a requirement to provide more frequent updates to inclusion enrollment in addition to any reporting associated with the RPPR.

Inclusion data cannot always be updated using Status. When application is undergoing peer review, the inclusion data is not accessible in the Inclusion Management System. Also, after a grant is awarded, only the **View** links will be available for the IDRs associated with fiscal year award. The data for a given fiscal year is locked when the award is issued and no further updates can be made. At that point, you can make updates via Status for the record associated with the next fiscal year.

For details on using the Status module for accessing IMS, please refer to the separate [IMS Online Help](#) or the [Instructions for Accessing the Inclusion Management System \(IMS\) via Commons Status](#). You can also access the IMS Online Help by selecting the help icons (?) on any of the IMS screens.

13.6.5 Editing the RPPR Budget Forms

13.6.5.1 Budget Form (H.1)

To add a budget, choose an option from the drop-down list and select the **Add Budget** button. The added budget type appears in the first table. Use the **Edit** link in the **Action** column to open the form for editing. Select the **Save** button before exiting the form. Most awards now use the SF424 R&R budget form. However, training awards may use the SF424 and/or the PHS 398 training budget. The *PHS Additional Indirect Costs* budget form is available as an optional form for the Overall component of a multi-project award with multiple institutions/organizations. Please contact the Grants Management Specialist assigned to your grant if you have questions on the appropriate form to use.

Budget types include:

- SF 424 Research & Related Budget form
- PHS 398 Training Budget
- PHS Additional Indirect Costs form

NOTE: Budget types can be deleted by selecting the **Delete** link from the **Action** column for the specific budget. After deleting a form, be sure to save the RPPR before navigating away from the *H.Budget* tab. **Save** buttons are located at the top and bottom of the screen.

13.6.5.2 Subaward Budget Form (H.2)

To add a subaward budget, choose an option from the drop-down list and select the **Add Subaward** button. The added budget type appears in the second table. Use the **Edit** link in the **Action** column to open the form for editing. Select the **Save** button before exiting the form.

Subaward budget types include:

- SF 424 Research & Related Subaward Budget form
- PHS 398 Subaward Training Budget

NOTE: Subaward budget types can be deleted by selecting the **Delete** link from the **Action** column for the specific subaward.

[Click here to display an image of the RPPR *H.Budget* screen.](#)

H. Budget ?

Please click the **Save** button before leaving this page. Otherwise, all changes will be lost.

Save **Cancel**

H1. Budget Form

For training awards, grantees should select the applicable RPPR budget type (e.g., SF424 (R&R) or PHS 398 Training Budget) from the drop down menu. For a small number of NIH training awards the grantee is required to submit both the SF424 (R&R) and PHS 398 Training Budget; the RPPR will accommodate this.

If completing the SF424 (R&R), follow the instructions in the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 4.7 R&R Budget Component, sections A-K. The budget justification should be uploaded as item K, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g., total rebudgeting greater than 25 percent of the total award amount for this budget period).

If completing the PHS 398 Training Budget, follow the instructions in the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 8.5 PHS 398 Training Budget Component, items A-F. The budget justification should be uploaded as item F, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g., total rebudgeting greater than 25 percent of the total award amount for this budget period).

Select a budget to add from the dropdown list:

Please select a budget type **Add Budget**

| Budget Type | Funds Requested | Action |
|------------------------------------|-----------------|---|
| PHS 398 Training Budget | \$0.00 | Edit Delete |
| SF 424 Research and Related Budget | \$0.00 | Edit Delete |

H2. Subaward Budget Form

For awards with subaward/consortium budgets, the grantee may select up to 30 subaward budgets. To complete a detailed budget for a subaward/consortium, follow the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 4.8 Special Instructions for Preparing Applications with a Subaward/Consortium or 8.6 PHS 398 Training Subaward Budget Attachment(s) Form.

Select a subaward budget to add from the dropdown list:

Please select a budget type **Add Subaward Budget**

| Budget Type | Subaward | Organization | Funds Requested | Action |
|--|----------|--------------|-----------------|---|
| PHS 398 Training Sub Award | 1 | | \$0.00 | Edit Delete |
| SF 424 Research and Related Sub Award Budget | 1 | | \$0.00 | Edit Delete |

Save **Cancel** [A Cover Page](#) | [B Accomplishments](#) | [C Products](#) | [D Participants](#) | [E Impact](#) | [F Changes](#) | [G Special Reporting Req](#) | [H Budget](#) | [I Outcomes](#)

NOTE: Remember to save the information before exiting the form by selecting one of the **Save** buttons located at the top and bottom of the form.

13.6.5.3 DUNS Number

For single-project RPPRs, the DUNS number will automatically populate the DUNS number of the grantee organization on the budget form.

SF424 Research & Related Budget

Save **Cancel**

OMB Number: 0925-0001

* Organizational DUNS:

* Organization Name:

* Budget Type: ☒ Project ☐ Subaward/Consortium

Budget Period: 1

* Start Date:

* End Date:

For multi-component RPPRs the grantee must enter the DUNS and Organization Name fields, as the DUNS number will not automatically populate the DUNS number.

To add the DUNS number:

Enter the DUNS number into the **Organizational DUNS** field or select the magnifying glass icon to search for and select the DUNS number. You can search using a secondary DUNS number, however, the form will reflect the primary DUNS after you select the organization.

The **Organizational DUNS** field updates with the information and the **Enter Name of Organization** field updates to reflect the new DUNS.

To add the organization name:

Enter the organization name into the **Organization Name** field or select the magnifying glass icon to search for and select the new organization name.

The **Organization Name** field updates with the information and the **Organizational DUNS** field updates to reflect the new organization.

NOTE: If subaward budgets are completed, the system will not calculate the budget line item F.5 for the main budget (click to view figure). Total consortium costs for the main budget **MUST** be computed and entered manually into budget line item F.5.

| F. Other Direct Costs | |
|--|-------------------------|
| | Funds Requested (\$) |
| 1. Materials and Supplies | \$ <input type="text"/> |
| 2. Publication Costs | \$ <input type="text"/> |
| 3. Consultant Services | \$ <input type="text"/> |
| 4. ADP/Computer Services | \$ <input type="text"/> |
| 5. Subawards/Consortium/ Contractual Costs | \$ <input type="text"/> |
| 6. Equipment or Facility Rental/User Fees | \$ <input type="text"/> |
| 7. Alterations and Renovations | \$ <input type="text"/> |
| 8. <input type="text"/> | \$ <input type="text"/> |
| 9. <input type="text"/> | \$ <input type="text"/> |
| 10. <input type="text"/> | \$ <input type="text"/> |
| Total Other Direct Costs | \$ <input type="text"/> |

13.6.5.4 SF 424 Research and Related Budget

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: [SF424 \(R&R\) Application Guide for NIH and Other PHS Agencies, Section I, 4.7 Budget Form](#)

13.6.5.5 SF 424 Research and Related Sub Award Budget

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: https://grants.nih.gov/grants/funding/424/SF424_RR_Guide_General_Adobe_VerC.pdf#4_8_Special_Instructions_for_Preparing

13.6.5.6 PHS 398 Training Budget

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: https://grants.nih.gov/grants/funding/424/SF424_RR_Guide_General_Adobe_VerC.pdf#8_5_PHS_398_Training_Budget

13.6.5.7 PHS 398 Training Sub Award

For assistance with the information required on the forms, please refer to the Application Guide.

Policy: https://grants.nih.gov/grants/funding/424/SF424_RR_Guide_General_Adobe_VerC.pdf#8_6_PHS_398_Training_Subaward_Budget

13.7 Checking for Errors and Warnings

At any time before an RPPR is submitted to agency, an error check can be performed to verify that the report passes the business rules and system validations in place. Any user who has access to the RPPR may perform the error check.

Refer to the section of this document titled *Checking for Errors on Single-Project RPPRs* on Page 262 for more information on error checking single-project RPPRs.

Refer to the section of this document titled *Checking for Errors on a Multi-Project RPPR* on Page 263 for more information on error checking multi-project RPPRs.

13.7.1 Checking for Errors on Single-Project RPPRs

To perform an error check on the RPPR for single-project RPPRs, select the **Check for Errors** button from the *RPPR Menu* screen.

The screenshot displays the 'RPPR Menu' interface. At the top, there is a header 'RPPR Menu' with a help icon. Below this is a section titled 'Application Information' containing the following details:

| | |
|-------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care Low-Income Children |
| Due Date: | 05/15/2012 |
| Current Reviewer: | |
| Status: | Not Started |

Below the application information, there is a row of buttons: 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'. The 'Check for Errors' button is highlighted with a red circle.

If errors or a warning exist, the appropriate error or warning message displays for each failed occurrence. **All errors must be corrected prior to submission**; the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.



If all validations pass, a message displays indicating: *No errors found on validation.*

13.7.2 Checking for Errors on a Multi-Project RPPR

To perform an error check on the Overall or individual component of a multi-project RPPRs, select the **Check for Errors** link from the **Actions** column of the *RPPR Menu* screen for the Overall or individual component being validated.

NOTE: Refer to the section of this document titled [Accessing a Multi-Project or Single-Project with Complicated Structure RPPR for Editing on Page 244](#) for information on adding individual components to the RPPR.

RPPR Menu ?

Application Information

Grant Number: 5P20MD123456-01
Institution: UNIVERSITY OF THE US
PD/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
Project Title: Sample Research Project
Due Date: 01/01/2014
Current Reviewer: Franklin, Benjamin
Status: PD/PI Work in Progress

View View Routing History Route Recall Submit Cancel

Does the project have components? ☒ Yes ☐ No ?

| ID | Project Title | Program Director(PD)/ Principal Investigator(PI) Name | Actions |
|---------|-------------------------|--|---|
| Overall | Sample Research Project | Washington, George | Edit Check for Errors |

Component Type Component Project Title

Select One Add Component

One item found.

| Component ID | Component Type | Component Project Title | Actions |
|--------------|----------------|----------------------------------|--|
| Core-6773 | Core | Core for Sample Research Project | Edit Component Check for Errors Delete |

If errors or a warning exist for the chosen component, the appropriate error or warning message displays for each failed occurrence. Select the **Check for Errors** button of the other components to perform a check against them.

All errors must be corrected prior to submission; the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.

RPPR Menu ?

Error Messages

- Core-6772 - Section A. Cover Page: (ID: 201309)
 - A.1.b. The project lead for the component is required. (ID: 200261)
- Core-6772 - Section B. Accomplishments: (ID: 201315)
 - B.1. An answer is required. (ID: 201238)
 - B.1.A. An answer is required. (ID: 201239)
 - B.2. An answer is required. (ID: 201240)
 - B.4. An answer is required: select Nothing to Report or enter/upload response. (ID: 201243)
 - B.5. An answer is required: select Nothing to Report or enter/upload response. (ID: 201244)
 - B.6. An answer is required. (ID: 201245)
- Core-6772 - Section C. Products: (ID: 201316)
 - C.3. An answer is required: select Nothing to Report or enter/upload response. (ID: 201248)
 - C.5.A. An answer is required: select Nothing to Report or enter/upload response. (ID: 201250)
 - C.5.B. An answer is required: select Nothing to Report or enter/upload response. (ID: 201251)
- Core-6772 - Section E. Impact: (ID: 201318)
 - E.3. An answer is required: select Nothing to Report or describe impact on technology transfer. (ID: 200220)
- Core-6772 - Section F. Change: (ID: 201319)
 - F.2. An answer is required: select Nothing to Report or enter/upload response. (ID: 201270)
 - F.3.a An answer is required: select No Change or enter/upload response. (ID: 201271)
 - F.3.b An answer is required: select No Change or enter/upload response. (ID: 201272)
 - F.3.c. An answer is required: select No Change or enter/upload response. (ID: 201273)
 - F.3.d. An answer is required: select No Change or enter/upload response. (ID: 201274)
- Core-6772 - Section G. Special Reporting Requirements: (ID: 201320)
 - G.4.a. An answer is required. (ID: 201278)
 - G.6. An answer is required. (ID: 201281)

Warning Message

H.1. The Funds Requested amount for one or more budget(s) is \$0 (zero) dollars. Check the calculations to ensure this amount is correct prior to submission. (ID: 200266)

If all validations pass, a message displays indicating: *No errors found on validation.*

13.8 Routing the RPPR

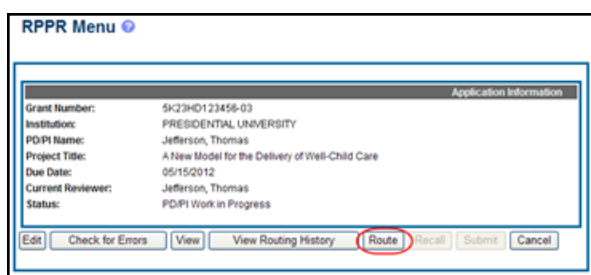
IMPORTANT: If you are looking for help routing PRAM, select this link: [Routing PRAM](#)

Progress reports in *Work in Progress (WIP)* status can be routed to others for review or corrections by the current reviewer of the report. The routing feature is found on the *RPPR Menu* screen.

NOTE: A PD/PI delegate cannot route an RPPR to the next reviewer.

To route an RPPR to the next reviewer:

1. Select the **Route** button from the *RPPR Menu*.

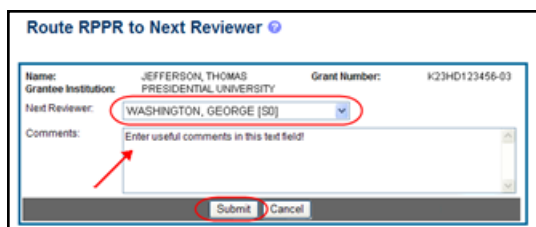


The screenshot shows the 'RPPR Menu' window. It contains a table with application information: Grant Number (5K23HD123456-03), Institution (PRESIDENTIAL UNIVERSITY), PD/PI Name (Jefferson, Thomas), Project Title (A New Model for the Delivery of Well-Child Care), Due Date (05/15/2012), Current Reviewer (Jefferson, Thomas), and Status (PD/PI Work in Progress). Below the table are several buttons: 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route' (highlighted with a red circle), 'Recall', 'Submit', and 'Cancel'.

NOTE: The figure above shows a single-project RPPR's *RPPR Menu*, however, multi-project RPPRs have a similar **Route** button on their own *RPPR Menu* screen.

The *Route RPPR to Next Reviewer* screen displays. From this screen, the next reviewer can be chosen from a list of reviewers, and comments can be added.


2. Select a reviewer from the **Next Reviewer** drop-down list.
3. *Optional:* Enter comments in the **Comments** box to provide information to the next reviewer.
4. Select the **Submit** button.



The screenshot shows the 'Route RPPR to Next Reviewer' window. It displays the Name (JEFFERSON, THOMAS) and Grant Number (K23HD123456-03). The 'Next Reviewer' dropdown menu is open, showing 'WASHINGTON, GEORGE [SO]' selected and circled in red. Below this is a 'Comments' text area with a red arrow pointing to it and the placeholder text 'Enter useful comments in this text field!'. At the bottom are 'Submit' and 'Cancel' buttons, with 'Submit' also circled in red.

5. *When routed by the PD/PI only:* The PD/PI Assurance statement displays. Select the **I**

Agree button to continue.



The dialog box is titled "Route RPPR to Next Reviewer" with a blue question mark icon. It contains a "PD/PI Assurance" section with a text area for a declaration. Below the text area are two buttons: "I Agree" (highlighted with a red circle) and "Cancel".

Route RPPR to Next Reviewer ?

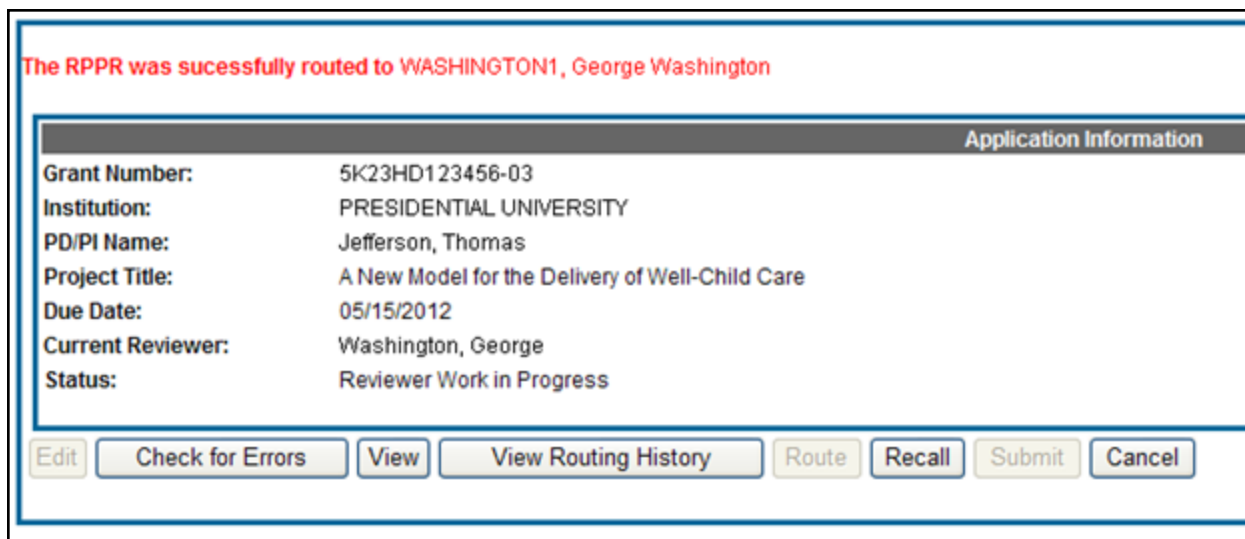
PD/PI Assurance

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission.

The *RPPR Menu* displays once again. If the routing is successful, the message on the screen reads as follows:

The RPPR was successfully routed to [Selected Reviewer User ID], [Selected Reviewer Name].

The person who routed the RPPR can no longer edit the report (**Edit** button becomes disabled). The editing feature is now available only to the new reviewer. The RPPR status is updated to *Reviewer Work in Progress*.



The screen displays a success message in red: "The RPPR was successfully routed to WASHINGTON1, George Washington". Below this is a table of application information. At the bottom are several buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, and Cancel.

The RPPR was successfully routed to WASHINGTON1, George Washington

| Application Information | |
|-------------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 05/15/2012 |
| Current Reviewer: | Washington, George |
| Status: | Reviewer Work in Progress |

13.9 Recalling the RPPR

RPPRs that have been routed to a reviewer can be recalled by the person who performed the routing action. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress*.

NOTE: A PD/PI delegate does not have the ability to recall the RPPR.

To recall an RPPR, select the **Recall** button from the *RPPR Menu* screen.

RPPR Menu

| Application Information | |
|-------------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 05/15/2012 |
| Current Reviewer: | Washington, George |
| Status: | Reviewer Work in Progress |

A message displays on the screen indicating: *The RPPR has been successfully recalled. You have been set as the Current RPPR Reviewer.*

The status of the RPPR is updated to *PD/PI Work in Progress* or *Reviewer Work in Progress*, the reviewer from whom the RPPR is recalled receives an email informing him of the action, and the RPPR routing audit history is updated to reflect the action.

Additionally, the **Edit** and **Route** buttons are enabled, providing the new reviewer with the ability to continue editing the RPPR or to route it to another reviewer.

The RPPR has been successfully recalled. You have been set as the Current RPPR Reviewer.

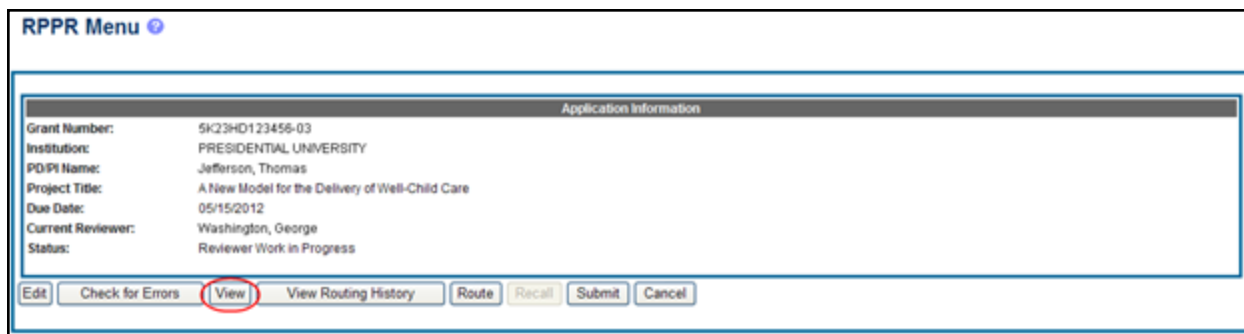
| Application Information | |
|-------------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 05/15/2012 |
| Current Reviewer: | Jefferson, Thomas |
| Status: | PD/PI Work in Progress |

13.10 Viewing the RPPR

Grantees are **strongly** encouraged to view the RPPR prior to submission to ensure that the correct information and attachments are provided. [Refer to the section of this document titled *Submitting RPPR to Agency* on Page 268.](#)

PD/PIs, PD/PI delegates, and reviewers can view a PDF version of an RPPR in *Work in Progress (WIP)* or *Submitted to Agency* status to see how it will be seen by the Agency. Until the RPPR is submitted to agency, the PDF report shows a status of *Draft* and a blank submission date.

To view the RPPR form, select the **View** button from the *RPPR Menu* screen.



RPPR Menu

Application Information

| | |
|-------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 05/15/2012 |
| Current Reviewer: | Washington, George |
| Status: | Reviewer Work in Progress |

13.11 Submitting RPPR to Agency

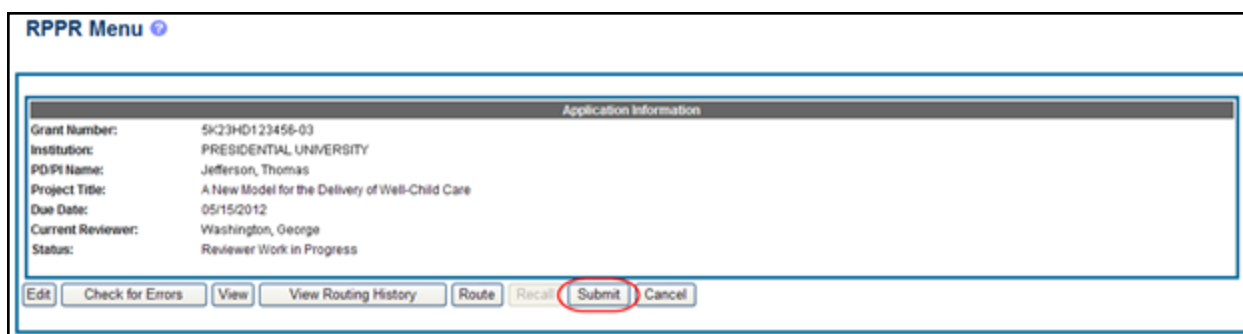
Grantees are strongly encouraged to view the RPPR prior to submission to ensure that the correct information and attachments are provided. [Refer to the section of this document titled *Viewing the RPPR* on Page 267.](#)

Completed and validated RPPRs in a status of *Work in Progress* can be submitted to the Agency for acceptance. This act is performed by the Signing Official (SO) when the SO is the current reviewer of the report. For SNAP awards only, PD/PIs may also submit the report if they have been delegated submit authority by the SO.

NOTE: A PD/PI with *Progress Report* authority cannot submit a non-SNAP or F RPPR.

To submit the RPPR to agency:

1. Select the **Submit** button from the *RPPR Menu* screen.



RPPR Menu

Application Information

| | |
|-------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 05/15/2012 |
| Current Reviewer: | Washington, George |
| Status: | Reviewer Work in Progress |

The Submit RPPR screen displays a certification statement.

In submitting this RPPR, the SO (or PD/PI with delegated authority), certifies to the best of his/her knowledge that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee

organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

2. Select the **I Agree** button to sign off on certification.

The RPPR is validated for systemic and business rules. If there are any validation failures, they are indicated by error messages on the *RPPR Menu* screen. Errors must be corrected in order to submit the RPPR.

If warnings exist, they are displayed on the *RPPR Menu* screen. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

3. *If Warnings Exist:* To address issues associated with warnings, select the **Cancel** button, correct the issue, and resubmit the RPPR again. To continue with submission despite the warnings, select the **OK** button.

If all validations pass, the *RPPR Menu* screen displays the following message: *The RPPR has been successfully submitted to PHS.*

The screenshot shows the 'RPPR Menu' interface. At the top, a red message states 'The RPPR has been successfully submitted to PHS.' Below this is a table titled 'Application Information' with the following details:

| | |
|-------------------|---|
| Grant Number: | 5R01HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PO/PI Name: | Jefferson, Thomas |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 05/15/2012 |
| Current Reviewer: | |
| Status: | Submitted to Agency |

At the bottom of the screen, there are several buttons: 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'.

The current reviewer is updated to the awarding agency, the RPPR status is updated to *Submitted to Agency*, and the RPPR Submission date is recorded. The routing history is updated to reflect the submission to Agency.

Any citations associated with the RPPR in **C.1. Publications** are officially associated with the award in MyNCBI.

If inclusion enrollment data are reported in the RPPR, this information will be provided in a structured data form and updated into the eRA inclusion data system for NIH staff review and acceptance. The data then becomes the data of record for the particular grant year.

When an RPPR is submitted to Agency, email notification is sent to the PD/PI (Contact PI) on the grant and the SO and AO assigned to the RPPR.

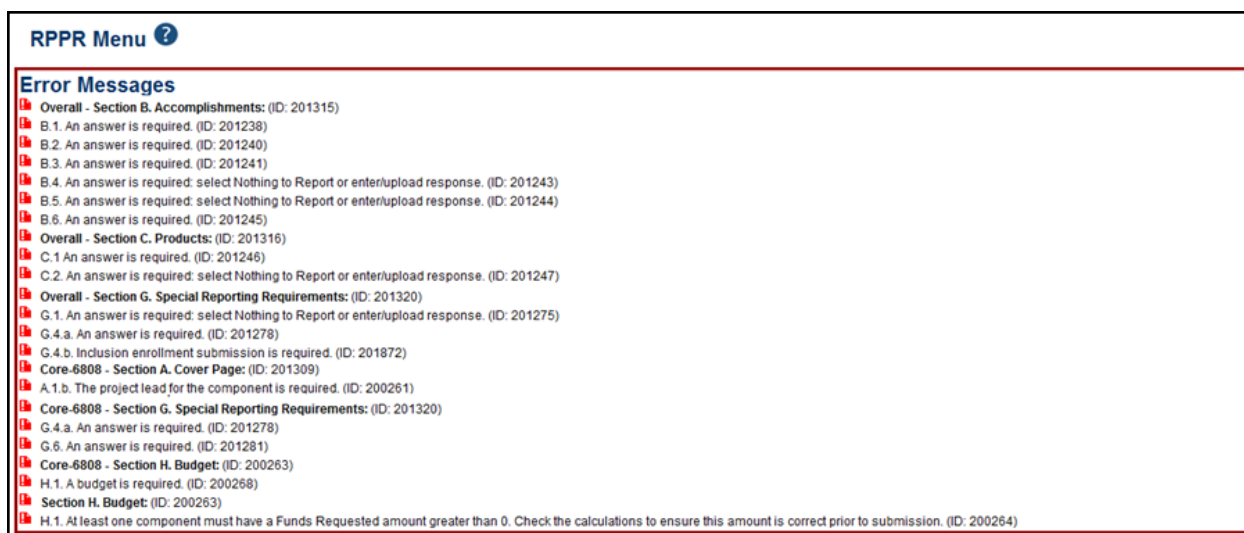
13.11.1 Submission Errors & Warnings for Multi-Project RPPRs

Upon submission, multi-project RPPRs are validated for systemic and business rules just as are single-project RPPRs. However, for multi-projects, the errors and warnings are displayed differently. When errors and/or warnings are found on multi-project RPPRs, the *RPPR Menu* screen displays the Overall messages followed by the messages of the other components.

All errors must be corrected in order to submit the RPPR.

If warnings exist, they are displayed on the *RPPR Menu* screen under the errors. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

[Click here to view a sample of possible error messages.](#)

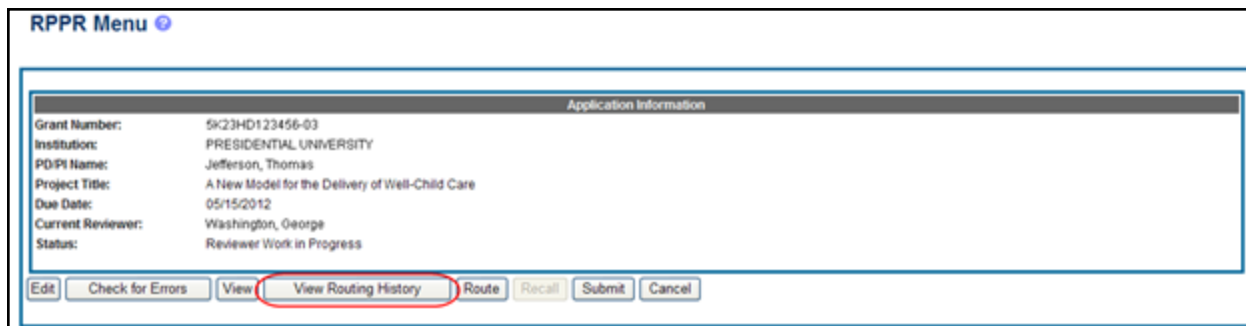


13.12 RPPR Routing History

From initiation to submission to Agency, the routing of an RPPR is captured for auditing purposes. PD/PIs, PD/PI delegates, and reviewers can view the routing history for *Work in Progress* or *Submitted to Agency* RPPRs at any time, even when not they are not the current reviewer.

To view the routing history:

1. Select the **View Routing History** button from the *RPPR Menu* screen.



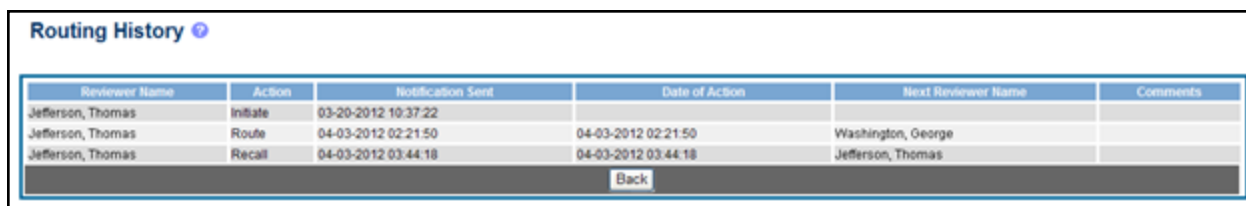
RPPR Menu

Application Information

Grant Number: 5K23HD123456-03
Institution: PRESIDENTIAL UNIVERSITY
PO/PI Name: Jefferson, Thomas
Project Title: A New Model for the Delivery of Well-Child Care
Due Date: 05/15/2012
Current Reviewer: Washington, George
Status: Reviewer Work in Progress

Edit Check for Errors View **View Routing History** Route Recall Submit Cancel

The *Routing History* screen displays showing the **Reviewer Name**, **Action**, **Notification Sent** (date and time), **Date of Action**, **Next Reviewer Name**, and **Comments** (when available).



| Reviewer Name | Action | Notification Sent | Date of Action | Next Reviewer Name | Comments |
|-------------------|----------|---------------------|---------------------|--------------------|----------|
| Jefferson, Thomas | Initiate | 03-20-2012 10:37:22 | | | |
| Jefferson, Thomas | Route | 04-03-2012 02:21:50 | 04-03-2012 02:21:50 | Washington, George | |
| Jefferson, Thomas | Recall | 04-03-2012 03:44:18 | 04-03-2012 03:44:18 | Jefferson, Thomas | |

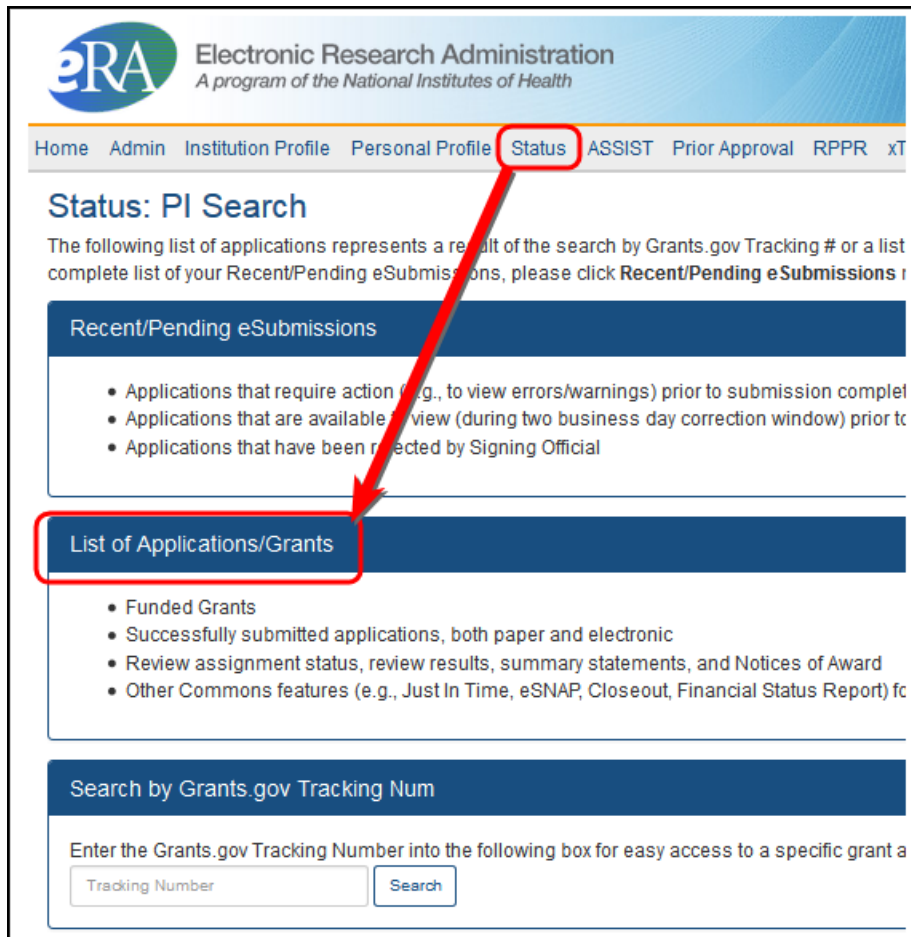
Back

2. To close the screen, select the **Back** button.

13.13 Viewing the RPPR in Commons

The RPPR, in PDF format, is accessible in Commons within the *Status Information* screen. To view the RPPR, perform the following steps:

1. From Commons, select the **Status** menu option.
2. Select the link for **List of Applications/Grants**.



3. From the *Status Result – List of Applications/Grants* screen, select the hyperlink for the specific Application ID.

Status Result - List of Applications/Grants

Notes & Tips:

- Important: The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 50 if no percentile is provided. Please await instructions from the NIH on whether to complete this information. Furthermore, there is a system problem with the Commons, which shows the JIT link for NRSA applications (Fellowships and Training applications). Please do not submit the JIT information for these types of applications through the Commons. Please submit JIT information for training grants and fellowships through email or fax. Finally, JIT requires a Signing Official (SO) at your institution to send the request to the NIH. Thank you for your cooperation.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click [List of Applications/Grants](#) menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | e-Submission Status | Current Application Status | Status Date | Action |
|-----------------------------------|-----------------------|---|-------------------|---------------------|--|-------------|-----------------------------------|
| 5R01HD123456-02 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Awarded, Non-fellowships only | 08/17/2011 | |
| 1R01HD123456-01A1 | ORANT12345678P | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Awarded, Non-fellowships only | 07/13/2010 | Transmittal Sheet |
| 1R01HD123456-01 | ORANT87654321P | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Submission Complete | Withdrawn by IC - Other Version Encumbered | 07/13/2010 | Transmittal Sheet |
| 5R01HD123456-03 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | | Pending | 08/17/2011 | RPPR |

Export to Excel Show Query Print History

The *Status Information* screen displays with the **Other Relevant Documents** section in the top right corner.

4. The progress reports for incrementally-funded and multi-year funded awards are displayed differently in **Other Relevant Documents**.
 - a. *For an incrementally-funded RPPR*: Select the **e-Application** link from the **Other Relevant Documents** section of the *Status Information* screen.

Status Information

| General Grant Information | | Other Relevant Documents |
|-----------------------------------|---|--|
| Status: | Pending administrative review. Refer any questions to Program Official or Grants Management Specialist. | e-Application |
| Institution Name: | PRESIDENTIAL UNIVERSITY | Additions for Review (0 documents) |
| School Name: | SCHOOL OF MEDICINE | |
| School Category: | SCHOOLS OF MEDICINE | |
| Division Name: | NONE | |
| Department Name: | PEDIATRICS | |
| PI Name: | Jefferson, Thomas | |
| Application ID: | 5R01HD123456-03 | |
| Proposal Title: | A New Model for the Delivery of Well-Child Care | |
| Proposal Receipt Date: | | |
| Last Status Update Date: | 08/17/2011 | |
| Budget Start Date: | 07/01/2012 | |
| Budget End Date: | 06/30/2013 | |
| Progress Report Due Date: | 05/01/2012 | |
| Current Award Notice Date: | | |
| Application Source: | Paper | |
| Project Period Begin Date: | 07/15/2010 | |
| Project Period End Date: | 06/30/2015 | |
| eApplication Status: | | |
| FOA: | [PA09-043] - MENTORED PATIENT-ORIENTED | |
| NIH Appl. ID: | 1234567 | |

Correspondence

Referral

| Date | Description | Action |
|------|-------------|--------|
| | | |

- a. For multi-year funded awards: Select the appropriate year's link in the **Research Performance Progress Report** section. Links will appear as follows: **RPPR Year <X> <MM/DD/YYYY>** .

| Status Information | | | | |
|--|---|--------|-------------|--------|
| General Grant Information | Other Relevant Documents | | | |
| Status: Application awarded | a-Application | | | |
| Institution Name: College at Stratford-Upon-Avon | Summary Statement | | | |
| School Name: SCHOOL OF MEDICINE | Latest NGA | | | |
| School Category: SCHOOLS OF MEDICINE | Notice(s) of Grant Award (PDF) 03/01/2010 | | | |
| Division Name: NONE | Abstract (Awarded Grant) | | | |
| Department Name: PEDIATRICS | Just In Time 02/11/2010 Times Revised(1) | | | |
| PI Name: SHAKESPEARE, WILLIAM (Contact); Marlowe, Christopher | aSubmission Cover Letter | | | |
| Application ID: 1R15CA234567-01A1 | Research Performance Progress Report RPPR Year 1 05/09/2011 | | | |
| Proposal Title: A Midsummer Night's Dream and Other Known Sleeping Disorders | Progress Report | | | |
| Proposal Receipt Date: 01/06/2014 | Additional Material (PRAM) PRAM Year 1 05/20/2011 | | | |
| Last Status Update Date: 02/24/2010 | Additions for Review (0 documents) | | | |
| Current Award Notice Date: 03/01/2010 | | | | |
| Application Source: Grants.gov | | | | |
| Project Period Begin Date: 04/01/2010 | | | | |
| Project Period End Date: 03/31/2014 | | | | |
| eApplication Status: Submission Complete | | | | |
| FOA: [PA00-123] - ACADEMIC RESEARCH ENHANCEMENT AWARD | | | | |
| NIH Appl. ID: 1234567 | | | | |
| | Correspondence Referral | | | |
| | <table border="1"> <thead> <tr> <th>Date</th> <th>Description</th> <th>Action</th> </tr> </thead> <tbody> </tbody> </table> | Date | Description | Action |
| Date | Description | Action | | |

The PDF version of the RPPR opens in a separate window.

NOTE: The submitted RPPR can also be accessed from the *RPPR Menu* screen. The **View** button opens the PDF version of the RPPR.

13.14 PD/PI Assurance Report

The *PD/PI Assurance Report* displays instances when PI users agreed to the PD/PI Assurance message upon routing or submitting a Research Performance Progress Reports (RPPR).

If you hold an SO role, you have access to this information. To view this information:

1. Select the **RPPR** tab from the Commons menu.
2. From the *Manage RPPR* screen, select the **PD/PI Assurance Report** option.

1.

The *PD/PI Assurance Report* screen opens. You can perform a search for a specific PI or by a range of dates for all PIs in the organization. You can search by PD/PI Name, a range of dates, or both. A search with no specified PI will return the records for all PIs in the organization.

2. Enter your search criteria and select the **Search** button.

The search results display at the bottom of the screen.

| Grant # | PD/PI Name | User ID | I Agree Date | Action |
|----------------|----------------------|---------|---------------------|--------|
| R01EY000005-03 | Shakespeare, William | THEBARD | 2012-07-23 01:17:29 | ROUTE |
| R01EY000005-03 | Shakespeare, William | THEBARD | 2012-07-24 14:15:26 | SUBMIT |

PD/PI Assurance Report

Search Criteria

PD/PI Name: Last: First:

Date Range From: 01/09/2013 To: 01/14/2013

PD/PI Assurance Search Results 1- 12 out of 12 records Prev 1 Next All

| Grant # | PD/PI Name | User ID | I Agree Date | Action |
|------------------|----------------------|-------------|---------------------|--------|
| R01FD000001-04 | Bennet, Lizzie | PROUDEB | 2013-01-10 20:04:44 | SUBMIT |
| R01DK000004-01S1 | CAULFIELD, HOLDEN | CATCHER | 2013-01-10 21:14:24 | SUBMIT |
| R01GM000002-31 | DOYLE, ARTHUR C | SHERLOCK | 2013-01-10 19:06:30 | SUBMIT |
| R01EY000002-05 | FINCH, ATTICUS | SCOUTSDAD | 2013-01-10 12:20:49 | ROUTE |
| R01NS000001-13 | FINN, HUCK | TOMSFRIEND | 2013-01-14 12:31:53 | SUBMIT |
| R01GM000001-17 | FITZGERALD, F SCOTT | GATSBY | 2013-01-14 18:19:42 | SUBMIT |
| R01MH000001-23 | GOLDING, WILLIAM | THEFLIES | 2013-01-14 00:39:18 | SUBMIT |
| R01CA000001-01 | JOYCE, JAMES | ULYSSES | 2013-01-14 19:11:17 | SUBMIT |
| R01EY000004-03 | LEE, HARPER | MOCKINGBIRD | 2013-01-11 18:36:50 | SUBMIT |
| R01EY000001-01 | Sawyer, Tom | HUCKSPAL | 2013-01-14 22:47:48 | SUBMIT |
| R01EY000005-03 | SHAKESPEARE, WILLIAM | THEBARD | 2013-01-11 18:30:35 | ROUTE |
| R01EY000003-07 | TORRANCE, JACK | SHINING | 2013-01-14 13:21:32 | SUBMIT |

13.15 Submitting Your Final Research Performance Progress Report

As of January 1, 2017, a *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See [NIH Implementation of Final Research Performance Progress Reports \(Final RPPR\)](#) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a *Final Research Performance Progress Report* (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim RPPR" via eRA Commons is now required. The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See [NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration](#) (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The *Interim RPPR* link will be made available to the Signing Official (SO) in the Status screen when a grant is eligible for submission of a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the *Process Final RPPR* link only appears on the [Closeout Status](#) screen.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR.

Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the Participants section
- Sections F: Changes and Section H: Budget are not part of the Interim/Final RPPR
- Section I: Outcomes is new. Section I is required for both the Interim/Final RPPR

13.15.0.1 To submit your Final RPPR:

1. Select the **Requires Closeout** link for the grant from *Status search* results.

The [Closeout Status](#) screen displays. Final RPPR is listed in the *Closeout Submission Requirement* column. The *Action* column should include a link for **Process Final RPPR**.

2. From Closeout Status, select the **Process Final RPPR** link.

Clicking the **Process Final RPPR** link opens the *Final RPPR Menu* screen:

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Kirk, Tiberius J |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | |
| Status: | Not Started |

Initiate Edit Check for Errors View View Routing History Route Recall Submit Cancel

3. Click the Initiate button to create the Final RPPR.

The Final RPPR Menu will then change, providing the user with the option to Edit the Final RPPR:

Final RPPR Menu ?
The RPPR has been successfully initiated.

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Kirk, Tiberius J |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | McCoy, Leonard B |
| Status: | PD/PI Work in Progress |

4. Clicking **Edit** opens the navigation to the various sections of the Final RPPR:

A Cover Page | B Accomplishments | C Products | D Participants | E Impact | G Special Reporting Req | I Outcomes

A. Cover Page ?

Save Cancel

| Grant Information | A.4 Recipient Organization Information |
|---|--|
| Grant Number: 5R21HL123456-02 | Organization Name: STARFLEET ACADEMY, MEDICAL RESEARCH |
| Project Title: Andronesian Encephalitis Can Lead to Genetic Degeneration | Address: STARFLEET ACADEMY, MEDICAL RESEARCH 1 WARP SPEED DRIVE SAN FRANCISCO CA 09876 |
| A.1 Program Director/Principal Investigator (PD/PI) Information ? | |
| Name: Kirk, Tiberius J | DUNS: 987654321 |
| E-mail: lamKirok@sfa.ea.edu | EIN: 1234567890A1 |
| Phone: (111) 555-1701 | Recipient ID: ? |
| A.1.a | |
| Is there a change of contact PD/PI on a multiple-PI award? <input checked="" type="radio"/> N/A <input type="radio"/> Yes <input type="radio"/> No | |
| If yes, provide the eRA Commons ID of the new contact PD/PI ? | |
| A.1.b Not Applicable | |
| A.2 Signing Official Information | |
| Name: <input type="text"/> | |
| E-mail: <input type="text"/> | |
| Phone: <input type="text"/> | |
| A.3 Administrative Official Information | |
| Name: <input type="text"/> | |
| E-mail: <input type="text"/> | |
| Phone: <input type="text"/> | |
| Project/Grant Period | |
| Start Date: 08/15/2011 | End Date: 05/31/2013 |
| Reporting Period | |
| Start Date: 06/01/2012 | End Date: 05/31/2013 |
| Requested Budget Period | |
| Start Date: 06/01/2012 | End Date: 05/31/2013 |
| Report Frequency: Annual | Other Frequency: <input type="text"/> |

Save Cancel A Cover Page | B Accomplishments | C Products | D Participants | E Impact | G Special Reporting Req | I Outcomes

5. Complete each section as required. See [How to Do I Fill Out the RPPR Forms](#) for help completing each section.

Be sure to click **SAVE** when moving between sections or unsaved data may be lost.

When done, click **Cancel** to return *Final RPPR Menu* screen.

In the *Final RPPR Menu* screen, there are several action buttons at the bottom that you can use to complete the Final RPPR:

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Kirk, Tiberius J |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | Boyd, Stacey |
| Status: | PD/PI Work in Progress |

Buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, Cancel

For more information on these options, see:

[Editing the RPPR Forms](#)

[Checking for Errors and Warnings](#)

[Viewing the RPPR](#)

[Routing the RPPR](#)

[Recalling the RPPR](#)

[Submitting RPPR to Agency](#)

The **Cancel** button closes the *Final RPPR Menu* screen.

13.16 Overview of the Interim RPPR

As of January 1, 2017, a *Final Research Performance Progress Report* (Final RPPR) is required for any grant that has ended and any grant that is not to be extended through award of a new competitive segment. The report is due within 120 days of the end of the project period. This report should be prepared in accordance with instructions provided by the awarding component. See [NIH Implementation of Final Research Performance Progress Reports \(Final RPPR\)](#) — Guide Notice NOT-OD-17-022

Effective February 9, 2017, *if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then **submission of an "Interim RPPR" via eRA Commons is now required.*** The Interim RPPR (IRPPR) will be used for the submission of a Competing Renewal application (Type 2). See [NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration](#) (Guide Notice NOT-OD-17-037).

Both the Interim RPPR and the Final RPPR are currently identical in process and information required. The difference between the two is when and where they are made available to initiate and submit. The **Interim RPPR** link will be made available to the Signing Official (SO) and the Principal Investigator (PI) in the *Status* screen when a grant is eligible for submission of a Competing Renewal application.

The Final RPPR is only available as part of the Closeout process and the **Process Final RPPR** link only appears on the [Closeout Status](#) screen.

NOTE: If a system check by the Agency does not detect that there is a pending Type 5 renewal application associated with the award when the grant goes into a Closeout Module, any Interim RPPR that has been started will be converted to a Final RPPR and will be accessible through the *Closeout* link in the **Status** column.

The format of the Interim RPPR and the Final RPPR will be the same as the current annual RPPR, making it easier for recipients to navigate through both the Interim and the Final RPPR, based on familiarity with the existing format of the annual RPPR. Differences between Interim/Final RPPR and the annual RPPR are few:

- In the Interim/Final RPPR, only Section D.1 is required in the *Participants* section
- Sections F: *Changes* and Section H: *Budget* are not part of the Interim/Final RPPR
- Section I: *Outcomes* is new. Section I is required for both the Interim/Final RPPR

Since a renewal application is competitive, there is no guarantee it will be funded. Therefore the following scenarios should be noted:

| Competing Renewal Application Status | Action |
|--|---|
| Not submitting a Competing Renewal application | Submit a Final RPPR no later than 120 days from the project period end date |
| Submitting a Competing Renewal | Submit an Interim |

| | | |
|-------------|--|--|
| application | RPPR no later than 120 days from the project period end date | |
| | Funded | Not Funded |
| | The Interim RPPR is accepted as the annual RPPR | The Interim RPPR is accepted as the Final RPPR |

13.16.1 Submitting Your Interim RPPR

To submit your Interim RPPR:

1. Select the *Interim RPPR* link for the grant from *Status* search results.

The *Interim RPPR* link will appear for both the Principal Investigator (PI) and the Signing Official one day after the budget period end date and before the award moves to Closeout.

2. Clicking the *Interim RPPR* Link opens the *Interim RPPR Menu* screen:

Interim RPPR Menu ?

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Kirk, Tiberius J |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | |
| Status: | Not Started |

Initiate
Edit
Check for Errors
View
View Routing History
Route
Recall
Submit
Cancel

3. Click the **Initiate** button to create the Interim RPPR.

The Final RPPR Menu will then change, providing the user with the option to **Edit** the Interim RPPR:

Interim RPPR Menu ?

The RPPR has been successfully initiated.

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Kirk, Tiberius J |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | McCoy, Leonard B |
| Status: | PD/PI Work in Progress |

Edit Check for Errors View View Routing History Route Recall Submit Cancel

4. Clicking **Edit** opens the navigation to the various sections of the Interim RPPR:

| A Cover Page | | B Accomplishments | C Products | D Participants | E Impact | G Special Reporting Req | I Outcomes |
|--|--|-------------------|------------|--|----------|-------------------------|------------|
| A. Cover Page ? | | | | | | | |
| <input type="button" value="Save"/> <input type="button" value="Cancel"/> | | | | | | | |
| Grant Information | | | | A.4 Recipient Organization Information | | | |
| Grant Number: 5R21HL123456-02 Project Title: Andronesian Encephalitis Can Lead to Genetic Degeneration | | | | Organization Name: STARFLEET ACADEMY, MEDICAL RESEARCH Address: STARFLEET ACADEMY, MEDICAL RESEARCH 1 WARP SPEED DRIVE SAN FRANCISCO CA 09876 | | | |
| A.1 Program Director/Principal Investigator (PD/PI) Information ? | | | | DUNS: 987654321 | | | |
| Name: Kirk, Tiberius J E-mail: lamKirok@sfa.ea.edu Phone: (111) 555-1701 | | | | EIN: 1234567890A1 | | | |
| A.1.a | | | | Recipient ID: ? <input type="text"/> | | | |
| Is there a change of contact PD/PI on a multiple-PI award? <input checked="" type="radio"/> N/A <input type="radio"/> Yes <input type="radio"/> No | | | | Project/Grant Period | | | |
| If yes, provide the eRA Commons ID of the new contact PD/PI <input type="text"/> ? | | | | Start Date: 08/15/2011 End Date: 05/31/2013 | | | |
| A.1.b Not Applicable | | | | Reporting Period | | | |
| | | | | Start Date: 06/01/2012 End Date: 05/31/2013 | | | |
| A.2 Signing Official Information | | | | Requested Budget Period | | | |
| Name: <input type="text"/> | | | | Start Date: 06/01/2012 End Date: 05/31/2013 | | | |
| E-mail: <input type="text"/> | | | | Report Frequency: <input type="text" value="Annual"/> Other Frequency: <input type="text"/> | | | |
| Phone: <input type="text"/> | | | | | | | |
| A.3 Administrative Official Information | | | | | | | |
| Name: <input type="text"/> | | | | | | | |
| E-mail: <input type="text"/> | | | | | | | |
| Phone: <input type="text"/> | | | | | | | |
| <input type="button" value="Save"/> <input type="button" value="Cancel"/> A Cover Page B Accomplishments C Products D Participants E Impact G Special Reporting Req I Outcomes | | | | | | | |

5. Complete each section as required. See [How to Do I Fill Out the RPPR Forms](#) for help completing each section.

Be sure to click **SAVE** when moving between sections or unsaved data may be lost.

When done, click **Cancel** to return *Interim RPPR Menu* screen.

In the *Final RPPR Menu* screen, there are several action buttons at the bottom that you can use to complete the Interim RPPR:

Interim RPPR Menu ?

| Application Information | |
|-------------------------|---|
| Grant Number: | 5R21HL123456-02 |
| Institution: | STARFLEET ACADEMY, MEDICAL RESEARCH |
| PD/PI Name: | Stanley, William C |
| Project Title: | Andronesian Encephalitis Can Lead to Genetic Degeneration |
| Due Date: | N/A |
| Current Reviewer: | McCoy, Leonard B |
| Status: | PD/PI Work in Progress |

Edit Check for Errors View View Routing History Route Recall Submit Cancel

For more information on these options, see:

- [Editing the RPPR Forms](#)
- [Checking for Errors and Warnings](#)
- [Viewing the RPPR](#)
- [Routing the RPPR](#)
- [Recalling the RPPR](#)
- [Submitting RPPR to Agency](#)

The **Cancel** button closes the *Interim RPPR Menu* screen.

13.16.2 Interim Report Additional Materials (IRAM)

The Agency may request *Interim Report Additional Materials* (IRAM) to provide a means for the grantee to enter, review, route, and submit information in response to specific request(s) by the Program Official at the IC (or AHRQ, if applicable) for additional information following the submission of an Interim RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the IRAM.

However, only the SO can submit the IRAM to the agency.

The link for the request will be displayed in the **Available Actions** column as "IRAM".

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners Non-Research

« Return to PI Search

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for scored applications. Please await instructions from the NIH on whether to complete this information

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click [List of Applications/Grants](#) menu tab again.

Status Result - List of Applications/Grants 14

Grouped View Flat View

| Application ID | Grants.gov Tracking# | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Available Actions |
|-----------------|----------------------|--|-------------------|---------------------|-------------------------------|-------------|-------------------------------|
| R01HL123456-05 | | Human Mesenchymal Stem Cell Microvesicles for the Treatment of Acute Lung Injury | LEE, JUN-FAN (PI) | | Awarded. Non-fellowships only | 03/31/2016 | RPPR Interim RPPR IRAM |
| 1R01HL123456-01 | GRANT87654321 | Human Mesenchymal Stem Cell Microvesicles for the Treatment of Acute Lung Injury | LEE, JUN-FAN (PI) | Submission Complete | Awarded. Non-fellowships only | 05/02/2012 | JIT (times revised: 1) |
| 5R01HL123456-04 | | Human Mesenchymal Stem Cell Microvesicles for the Treatment of Acute Lung Injury | LEE, JUN-FAN (PI) | | Awarded. Non-fellowships only | 03/31/2015 | RPPR |

Status Result - List of Applications/Grants 22

Grouped View Flat View

Filter:

Show 50 per page 1

| Application ID | Grants.gov Tracking# | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Available Actions |
|-------------------|----------------------|--|-------------------|---------------------|-------------------------------|-------------|---|
| 5R21NS123456-02 | | Statins, statin-related gene, and Parkinson's disease risk | LEE, JUN-FAN (PI) | | Awarded. Non-fellowships only | 08/20/2015 | Actions |
| 1R21NS999999-01A1 | GRANT12345678 | Statins, statin-related gene, and Parkinson's disease risk | LEE, JUN-FAN (PI) | Submission Complete | Awarded. Non-fellowships only | 09/01/2015 | RPPR Inclusion Interim RPPR IRAM |
| 5R01NS123456-03 | | Prospective Study of Restless Leg Syndrome | LEE, JUN-FAN (PI) | Submission Complete | Awarded. Non-fellowships only | 07/01/2015 | |

When the link is clicked, the IRAM screen will open and provide an **Upload** button. Click this button to select the PDF file that satisfies the agency request as well as any appropriate comments related to the request and/or file. The character limit for the comments is 2,000 characters.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners Non-Research

Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

In submitting these Final Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

Interim Progress Report Additional Materials (IRAM)


Grant Information

Grant Number: 4R01HL123456-05
Institution: UNIVERSITY OF CALIFORNIA, SAN FRANCISCO

PD/PI Name: Lee, Jun-Fan
Project Title: Human mesenchymal stem cell microvesicles for the treatment of acute lung injury

IRAM

Please provide additional materials:

 Upload

| File Name | Date Uploaded | Uploaded By |
|---------------------------------|---------------|-------------|
| No documents have been uploaded | | |

Please provide comments:

Total remaining allowed limit is 2000 characters.

Cancel Preview Save Delete Submit

After selecting the appropriate document, you will be returned to the IRAM screen where you may enter comments and then use the buttons at the bottom of the page to:

- **Cancel** - No changes will be made and you will be returned to the *Status Results* page
- **Preview** - This will open the submission to allow you to view the uploaded document and comments that will be sent to the Agency.
- **Save** - The selected document and comments (if any) will be saved for future submission.
- **Delete** - The selected document will be removed and a different document may be uploaded.
- **Submit** - Send the document and comments to the Agency.

You may also upload additional documents [limit 10] as well as **View** or **Delete** individual documents.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners Non-Research

Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

In submitting these Final Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

Interim Progress Report Additional Materials (IRAM)

Grant Information

Grant Number: 4R01HL123456-05
Institution: UNIVERSITY OF CALIFORNIA, SAN FRANCISCO

PD/PI Name: Lee, Jun-Fan
Project Title: Human mesenchymal stem cell microvesicles for the treatment of acute lung injury

IRAM

Please provide additional materials:

| File Name | Date Uploaded | Uploaded By |
|----------------|---------------|--------------|
| IRAM_Doc_1.pdf | 09/14/2017 | Lee, Jun-Fan |

Please provide comments:

[Provide related comments here]

Total remaining allowed limit is 2000 characters.

Cancel Preview Save Delete Submit

13.17 Public Access PRAM

The Public Access Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, and submit information in response to the automated notification sent when an NIH grantee organization submits an RPPR with non-compliant publications. The system sends the automated email to the PD/PI requesting verification that all publications are in compliance with the NIH Public Access Policy. The SO and AO assigned to the RPPR on the cover page will receive a copy (cc:) of the email. While an email response to the GMS and PO is acceptable at this time, the grantee is encouraged respond using the Public Access PRAM feature in eRA Commons. AHRQ does not currently use the PRAM feature for public access compliance notifications.

Using the PRAM feature, grantees can upload and submit a [My NCBI PDF](#) report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Compliant papers have a status of *Complete*, *N/A* (not applicable), *PMC Journal in Process*, or *In process at NIHMS*. Please see <http://publicaccess.nih.gov/include-pmcid-citations.htm> for additional information. If unable to provide the verification of compliance, grantees can upload and submit justification for why specific publications cannot be brought into compliance.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the Public Access PRAM, but can only submit it if the PD/PI is delegated with *Submit Progress Report* authority. Otherwise, only the SO can submit the PRAM to Agency.

13.17.1 Initiating Public Access PRAM

The PD/PI (Contact PI) or PD/PI Delegate can initiate Public Access PRAM by following the steps below:

1. Access the *Status Result – List of Applications/Grants* screen.
2. Select the **Public Access PRAM** link from the **Action** column of the appropriate grant.

Status Result - List of Applications/Grants ?

Notes & Tips:

- **Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click List of Applications/Grants menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | e-Submission Status | Current Application Status | Status Date | Action |
|---------------------------------------|-----------------------|---|-------------------|---------------------|--|-------------|---|
| 5K23HD123456-03 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | | Pending | 09/30/2012 | RPPR Public Access PRAM |
| TDP1CA654321-04 (MPI) | GRANT00123456 | Crime & Punishment and the Effects on Mental Health | JEFFERSON, THOMAS | Submission Complete | Pending | 09/26/2012 | Transmittal Sheet |
| AN1234567 | GRANT00234567 | The Red Badge of Courage and Other Skin Disorders | JEFFERSON, THOMAS | Submission Complete | Application has been entered into computer | 08/22/2012 | Transmittal Sheet |

Export to Excel Show Query Print History

The *Progress Report Additional Materials (PRAM)* screen displays **Grant Information** including Grant Number, PD/PI Name, Project Title, Institution, Status, and Current Reviewer displays at the top of the screen. The **Public Access Compliance** section at the bottom contains guidance for responding to the automated email requesting evidence of compliance with a field and buttons for uploading and maintaining attachments.

3. Use the **Add Attachment** button to browse and select the My NCBI PDF or another PDF document providing justification. Note that selecting the **Cancel** button closes the screen instead.
4. Enter a response in the text box in 2,000 characters or less and select the **Route** button at the bottom of the screen.

Progress Report Additional Materials (PRAM) ?

Grant Information

Grant Number: 5K23HD123456-03
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: PD/PI Work in Progress
 Current Reviewer: Jefferson, Thomas

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment: [Sample Document.pdf](#) Add Attachment Delete Attachment View Attachment

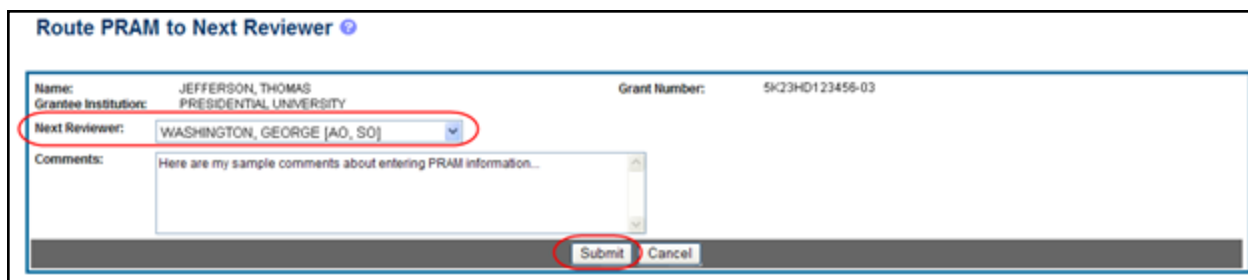
View View Routing History **Route** Recall Submit Cancel

NOTE: The options for **Delete Attachment** and **View Attachment** display once an attachment has been uploaded. **Save**, **View**, and **Route History** may be selected at this time. Selecting the option for **Cancel** closes the screen without saving or routing the PRAM information.

5. *Optional:* Select the **View Attachment** button to view the document. Select the **Delete Attachment** button to remove the document.

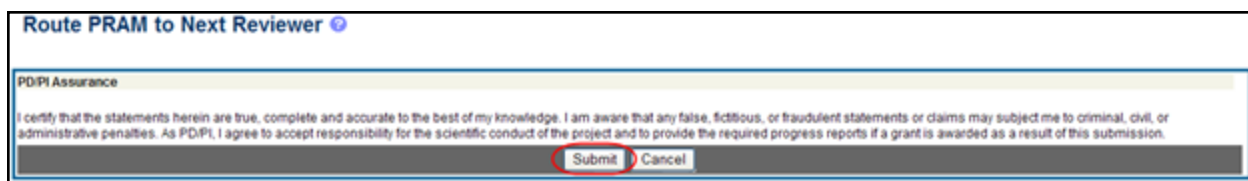
When the **Route** button is selected, the *Route PRAM to Next Reviewer* screen displays. A list of all available reviewers exists in the drop-down for **Next Reviewer**.

6. Select an SO from the **Next Reviewer** drop-down list.
7. Enter text into the **Comments** field as necessary. This is not a mandatory field.
8. Select the **Submit** button to continue.



The *Route PRAM to Next Reviewer* screen displays the PD/PI Assurance statement.

9. Read the assurance statement and select the **Submit** button to agree to the content and continue routing the PRAM to the next reviewer.



The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully routed to the selected reviewer. Additionally, the status is updated and shown as *Reviewer Work in Progress*. At this point, the PD/PI can only view the PRAM and may not edit it. To be able to allow the PD/PI to edit the PRAM, the SO needs to route the PRAM back to the PD/PI using steps similar to those above.

At the time of routing, an email is sent to the PD/PI and the selected SO (or other Next Reviewer) to notify them of the event.

Progress Report Additional Materials (PRAM) ?

The PRAM was successfully routed to WASHINGTON1, George Washington

| Grant Information | |
|-------------------|---------------------------------------|
| Grant Number: | 5K23HD123456-03 |
| PD/PI Name: | JEFFERSON, THOMAS |
| Project Title: | A New Model for the Delivery of Well- |
| Institution: | PRESIDENTIAL UNIVERSITY |
| Status: | Reviewer Work in Progress |
| Current Reviewer: | Washington, George |

| Public Access Compliance | |
|--|--|
| Provide verification that all publications are in compliance with the NIH Public Access Policy | |
| <ul style="list-style-type: none">• Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".• If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance. | |
| Upload Attachment: | <input type="text" value="1111111.pdf"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> |

13.17.2 Recalling Public Access PRAM

Public Access PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action until the PRAM has been submitted to the Agency. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress*.

NOTE: A PD/PI delegate does not have the ability to recall the PRAM.

To recall an Public Access PRAM, select the **Recall** button from the *Progress Report Additional Materials (PRAM)* screen.

Progress Report Additional Materials (PRAM) ?

Grant Information

Grant Number: 5K23HD123456-03
 PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Reviewer Work in Progress
 Current Reviewer: Washington, George

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment:

A message displays on the screen indicating: *The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.*

The status of the PRAM is updated to *PD/PI Work in Progress* if recalled by the PI or *Reviewer Work in Progress* if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email informing him of the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and the **Route** button is enabled, providing the current reviewer the ability to update the PRAM and route it to another reviewer.

13.17.3 Submitting Public Access PRAM

When the Public Access PRAM is in *Reviewer Work in Progress* status, the Signing Official (SO) can submit it to the Agency. PD/PIs may also submit the information if they have been delegated *Submit Progress Report* authority by the SO.

To submit the Public Access PRAM:

1. Access the *Status* screen.
2. Enter the appropriate query parameters to locate the grant and select the **Search** button.

The *Status Result – General Search* screen displays with the matching information.

3. From the **Action** column, select the link for **PRAM**.

Status Result - General Search

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | Application Status | Budget Start Date | FFATA | Show All Prior Errors | Action |
|-----------------|-----------------------|---|-------------------|--------------------|-------------------|-------|-----------------------|--------------------------------|
| 5K23HD123456-03 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Pending | 05/01/2013 | Yes | | RPPR Public Access PRAM |

Export to Excel Show Query Print History

The *Progress Report Additional Materials (PRAM)* screen displays. The screen displays **Grant Information** on top and the PD/PI comments in the text box at the bottom of the screen. In addition to submitting the PRAM, from this screen, the SO also may **View** the PRAM as a PDF, **Route** it to another reviewer (or back to the PD/PI), and view the **Route History**. Select any of the appropriate buttons to perform these actions. Follow the steps below to continue submitting the PRAM.

4. Select the **Submit** button.

Progress Report Additional Materials (PRAM)

Grant Information

Grant Number: 5K23HD123456-03
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Reviewer Work in Progress
 Current Reviewer: Washington, George

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment: 1111111.pdf Add Attachment Delete Attachment View Attachment

View View Routing History Route Recall **Submit** Cancel

The *Submit PRAM to Agency* screen displays. By continuing from this screen, the SO certifies that the submitting organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement. The SO also verifies that the information provided in the PRAM is valid and accurate.

5. Read certification agreement. Select the **I Agree** button to continue submitting the information. (Selecting the **Cancel** button closes the screen and returns the *Progress Report Additional Materials* screen without submitting the material.)

Submit PRAM to Agency

In submitting these Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

| Application Information | |
|-------------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | JEFFERSON, THOMAS |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 2013-03-15 |
| Current Reviewer: | Washington, George |
| PRAM Status: | Reviewer Work in Progress |

I Agree **Cancel**

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully submitted. The current reviewer is updated to the awarding agency, the PRAM status is updated to *Submitted to Agency*, and the PRAM submission date is recorded. The routing history is updated to reflect the submission to Agency.

Progress Report Additional Materials (PRAM) ?

The progress report additional materials have been successfully submitted to PHS.

| Grant Information | |
|-------------------|--|
| Grant Number: | 5K23HD123456-03 |
| PD/PI Name: | JEFFERSON, THOMAS |
| Project Title: | A New Model for the Delivery of Well-Child |
| Institution: | PRESIDENTIAL UNIVERSITY |
| Status: | Submitted to Agency |
| Current Reviewer: | NIH |

Public Access Compliance

Provide verification that all publications are in compliance with the [NIH Public Access Policy](#)

- Verify compliance with the NIH Public Access Policy by uploading a My NCBI PDF report demonstrating that previously non-compliant papers reported on the RPPR are now compliant. Citations must have one of the following statuses: "Complete", "N/A" (not applicable), "PMC Journal in Process", "In process at NIHMS".
- If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.

Upload Attachment: **1111111.pdf** **Add Attachment** **Delete Attachment** **View Attachment**

View **View Routing History** **Route** **Recall** **Submit** **Cancel**

When PRAM is submitted to Agency, an email notification is sent to the PD/PI (Contact PI) on the grant, the submitting SO, the SO assigned to the RPPR, and AO assigned to the RPPR and the **Public Access PRAM** link will no longer be available.

NOTE: To view the submitted PRAM, select the **View** button on the *Progress Report Additional Materials (PRAM)* screen. This option opens the PRAM PDF in a separate window. The Public

Access PRAM will appear as the final page of the PDF document. See below for display of IC Requested PRAM.

13.17.4 View Public Access PRAM for Multi-Year Funded Awards

After submitting Public Access PRAM for multi-year funded awards, users with access to the grant information may view the PRAM via the *Status Information* screen. *Status Information* is accessed by selecting the **Application ID** hyperlink from the *Status Result – General Search* (SOs) and *Status Result – List of Applications/Grants* (PIs) screens.

| Status Result - List of Applications/Grants ? | | | | | | | |
|---|-----------------------|--|----------------------|---------------------|----------------------------------|-------------|---|
| <p>Notes & Tips:</p> <ul style="list-style-type: none"> Important: The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information. <p>The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click List of Applications/Grants menu tab again.</p> | | | | | | | |
| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
| 1R03CA123456-01 | GRANT12300001P | All's Well That Ends Well with Advancements in Medicine | SHAKESPEARE, WILLIAM | Submission Complete | Administratively Withdrawn by IC | 11/08/2011 | Transmittal Sheet |
| 1R15CA234567-01A1 | GRANT11111111P | A Midsummer Night's Dream and Other Known Sleeping Disorders | SHAKESPEARE, WILLIAM | Submission Complete | Awarded Non-fellowships only | 02/24/2010 | RPPR Year 2 RPPR Year 3 Transmittal Sheet Admin Supplements |
| 1R15CA654321-01 | GRANT12345678P | The Two Noble Kinsmen: A Study on Genetics and DNA | SHAKESPEARE, WILLIAM | Submission Complete | Pending IRG Review | 07/17/2013 | Transmittal Sheet |
| <p>Export to Excel Show Query Print History</p> | | | | | | | |

From the *Status Information* screen, select the hyperlink in the area marked **Progress Report Additional Material (PRAM)** in the **Other Relevant Documents** section. The PRAM links for multi-year funded awards display as **PRAM Year <X> <date submitted>**.

| Status Information | | |
|----------------------------|--|--|
| General Grant Information | | Other Relevant Documents |
| Status: | Application awarded. | e-Application |
| Institution Name: | College at Stratford-Upon-Avon | Summary Statement |
| School Name: | SCHOOL OF MEDICINE | Latest NGA |
| School Category: | SCHOOLS OF MEDICINE | Notice(s) of Grant Award (PDF) |
| Division Name: | NONE | 03/01/2010 |
| Department Name: | PEDIATRICS | Abstract (Awarded Grant) |
| PI Name: | SHAKESPEARE, WILLIAM (Contact); Marlowe, Christopher | Just In Time |
| Application ID: | 1R15CA234567-01A1 | 02/11/2010 Times Revised(1) |
| Proposal Title: | A Midsummer Night's Dream and Other Known Sleeping Disorders | eSubmission Cover Letter |
| Proposal Receipt Date: | 01/06/2014 | Research Performance Progress Report |
| Last Status Update Date: | 02/24/2010 | RPPR Year 1 05/09/2011 |
| Current Award Notice Date: | 03/01/2010 | Progress Report |
| Application Source: | Grants.gov | PRAM Year 1 05/20/2011 |
| Project Period Begin Date: | 04/01/2010 | Additions for Review (0 documents) |
| Project Period End Date: | 03/31/2014 | |
| eApplication Status: | Submission Complete | |
| FOA: | [PA00-123] - ACADEMIC RESEARCH ENHANCEMENT AWARD | |
| NIH Appl. ID: | 1234567 | |
| | | Correspondence Referral |
| | | Date Description Action |

13.18 IC (Agency) Requested PRAM

The Agency Requested Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, route, and submit information in response to specific request(s) by the Grants Management Specialist at the IC (or AHRQ, if applicable) for additional information following the submission of an RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of multiple PIs) can enter the PRAM, but can only submit it if the PD/PI is delegated with *Submit Progress Report* authority. Otherwise, only the SO can submit the PRAM to Agency.

NOTE: Agency requested PRAM is not available for multi-year funded awards at this time.

13.18.1 Initiating Agency Requested PRAM

The PD/PI (Contact PI) or PD/PI Delegate can initiate Agency Requested PRAM by following the steps below:

1. Access the *Status Result – List of Applications/Grants* screen.
2. Select the **Agency Requested PRAM** link from the **Action** column of the appropriate grant.

| Status Result - List of Applications/Grants | | | | | | |
|--|-----------------------|---|-------------------|---------------------|--|--|
| <p>Notes & Tips:</p> <ul style="list-style-type: none"> • Important: The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information. <p>The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click List of Applications/Grants menu tab again.</p> | | | | | | |
| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date |
| 5K23HD123456-03 | | A New Model for the Deliver of Well-Child Care | JEFFERSON, THOMAS | | Pending | 09/30/2012 |
| 7DP1CA854321-04 (MPI) | GRANT00123456 | Crime & Punishment and the Effects on Mental Health | JEFFERSON, THOMAS | Submission Complete | Pending | 09/26/2012 |
| AN1234567 | GRANT00234567 | The Red Badge of Courage and Other Skin Disorders | JEFFERSON, THOMAS | Submission Complete | Application has been entered into computer | 08/22/2012 |
| | | | | | | RPPR Agency Requested PRAM Transmittal Sheet |

[Export to Excel](#)
[Show Query](#)
[Print Hitlist](#)

The *Progress Report Additional Materials (PRAM)* screen displays. **Grant Information**, including Grant Number, PD/PI Name, Project Title, Institution, Status, and Current Reviewer, displays at the top of the screen. The **Additional Materials Requested by Agency** section at the bottom provides a means for adding the requested materials. Up to 100 attachments can be submitted, but all attachments must be in the form of PDF files.

3. Select the **Add Attachment** button in the **Additional Materials Requested by Agency** section of the screen.

Progress Report Additional Materials (PRAM) ?

Grant Information

Grant Number: [5K23HD123456-03](#)
PI/PI Name: JEFFERSON, THOMAS
Project Title: A New Model for the Delivery of Well-Child Care
Institution: PRESIDENTIAL UNIVERSITY
Status: Not Started
Current Reviewer:

Additional Materials Requested by Agency ?

Please provide additional materials

Upload file(s): Add Attachment

View View Routing History Route Recall Submit Cancel

4. Use the *Upload Attachment* pop-up **Browse** and **Upload** buttons to search for and attach the appropriate file. Repeat for all necessary attachments.

The **Additional Materials Requested by Agency** section updates to show a table of all attachments. The table displays the **Document Name** and **Action** links of **View** and **Delete** for each attachment.

5. *Optional*: Select the document's **View** link in the **Action** column to view the attachment.
6. *Optional*: Select the document's **Delete** link in the **Action** column to remove the attachment.

NOTE: The options for **View** and **Route History** may be selected at this time. Selecting the option for **Cancel** closes the screen without saving or routing the PRAM information.

7. Select the **Route** button to send the PRAM for review.

Progress Report Additional Materials (PRAM)

Grant Information

Grant Number: 5K23HD123456-03
PD/PI Name: JEFFERSON, THOMAS
Project Title: A New Model for the Delivery of Well-Child Care
Institution: PRESIDENTIAL UNIVERSITY
Status: Not Started
Current Reviewer:

Additional Materials Requested by Agency

Please provide additional materials

Upload file(s):

| Document Name | Action |
|---------------------|---|
| Sample Document.pdf | View Delete |
| Sample2 Doc.pdf | View Delete |

When the **Route** button is selected, the *Route PRAM to Next Reviewer* screen displays. A list of all available reviewers exists in the drop-down for **Next Reviewer**.

8. Select a name from the **Next Reviewer** drop-down list.
9. Enter text into the **Comments** field as necessary. This is not a mandatory field.
10. Select the **Submit** button to continue.

Route PRAM to Next Reviewer

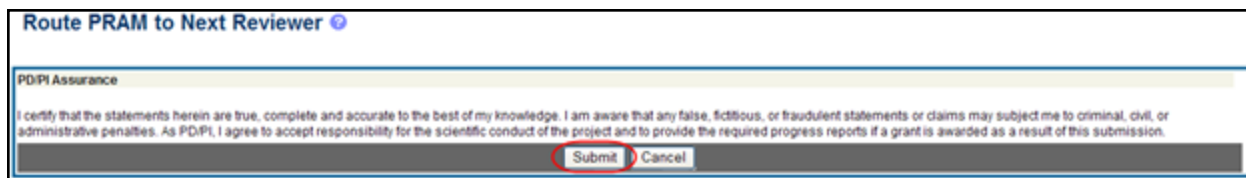
Name: JEFFERSON, THOMAS
Grantee Institution: PRESIDENTIAL UNIVERSITY
Grant Number: 5K23HD123456-03

Next Reviewer: WASHINGTON, GEORGE [AO, SO]

Comments: Here are my sample comments about entering PRAM information...

The *Route PRAM to Next Reviewer* screen displays the PD/PI Assurance statement.

11. Read the assurance statement and select the **Submit** button to agree to the content and continue routing the PRAM to the next reviewer.



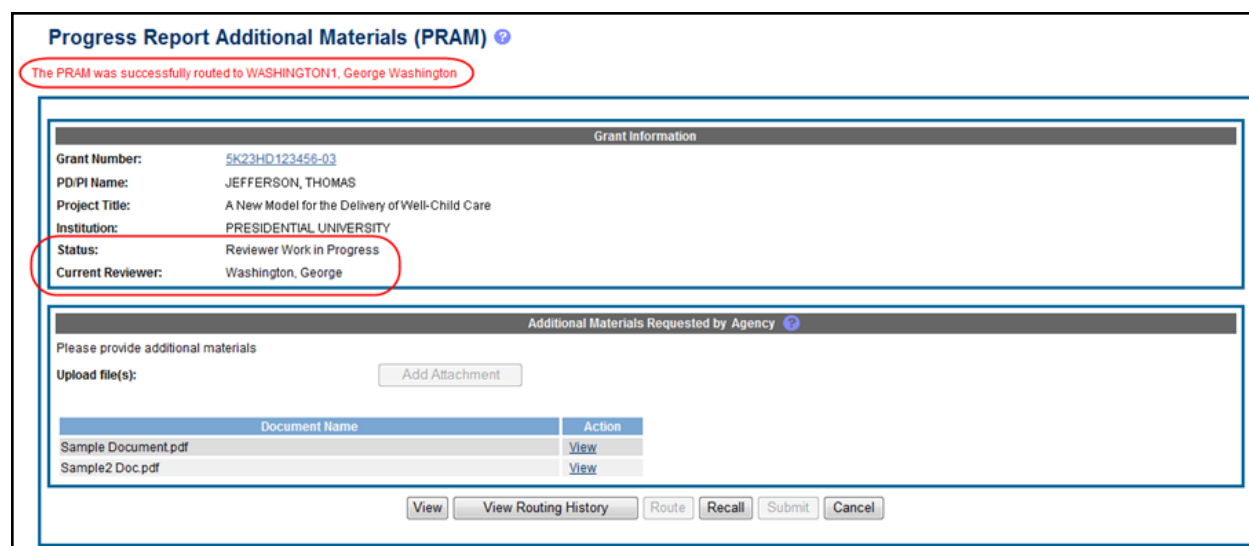
Route PRAM to Next Reviewer ?

PD/PI Assurance

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission.

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully routed to the selected reviewer. Additionally, the status is updated and shown as *Reviewer Work in Progress*. At this point, the PD/PI can only view the PRAM, the attachments, and the Route History; the PD/PI may not edit the PRAM. To be able to allow the PD/PI to edit the PRAM, the SO needs to route the PRAM back to the PD/PI using routing steps similar to those above.

At the time of routing, an email is sent to the PD/PI and the selected SO (or other Next Reviewer) to notify them of the event.



Progress Report Additional Materials (PRAM) ?

The PRAM was successfully routed to WASHINGTON1, George Washington

| Grant Information | |
|-------------------|---|
| Grant Number: | 5K23HD123456-03 |
| PD/PI Name: | JEFFERSON, THOMAS |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Institution: | PRESIDENTIAL UNIVERSITY |
| Status: | Reviewer Work in Progress |
| Current Reviewer: | Washington, George |

Additional Materials Requested by Agency ?

Please provide additional materials

Upload file(s):

| Document Name | Action |
|---------------------|----------------------|
| Sample Document.pdf | View |
| Sample2 Doc.pdf | View |

13.18.2 Recalling Agency Requested PRAM

Agency Requested PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action up until the submission of the current PRAM attachment(s) to the Agency. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials at the Institution and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress*.

NOTE: A PD/PI delegate does not have the ability to recall the PRAM.

To recall an Agency Requested PRAM, select the **Recall** button from the *Progress Report Additional Materials (PRAM)* screen.

Progress Report Additional Materials (PRAM) ?

Grant Information

Grant Number: [5K23HD123456-03](#)
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Reviewer Work in Progress
 Current Reviewer: Washington, George

Additional Materials Requested by IC ?

Please provide additional materials

Upload file(s):

| Document Name | Action |
|-------------------------|----------------------|
| PRAM_sampledocument.pdf | View |

A message displays on the screen indicating: *The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.*

NOTE: Only items which have not already been submitted can be recalled. If prior Agency Requested PRAM submissions to the Agency exist, these attachments are not included in the recall.

The status of the PRAM is updated to *PD/PI Work in Progress* if recalled by the PI or *Reviewer Work in Progress* if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email informing him of the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and **Add Attachment** and **Route** buttons are enabled, providing the current reviewer the ability to update the PRAM and route it to another reviewer.

13.18.3 Submitting Agency Requested PRAM

When the Agency Requested Progress Report Additional Materials (PRAM) is in *Reviewer Work in Progress* status, the Signing Official (SO) can submit it to the Agency. PD/PIs may also submit the information if they have been delegated *Submit Progress Report* authority by the SO.

To submit the PRAM:

1. Access the *Status* screen.
2. Enter the appropriate query parameters to locate the grant and select the **Search** button.

The *Status Result – General Search* screen displays with the matching information.

- From the **Action** column, select the link for **Agency Requested PRAM**.

Status Result - General Search ?

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | Application Status | Budget Start Date | FFATA | Show All Prior Errors | Action |
|-----------------|-----------------------|---|-------------------|--------------------|-------------------|-------|-----------------------|---|
| 5K23HD123456-03 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Pending | 05/01/2013 | Yes | | RPPR: Agency Requested PRAM |

Export to Excel Show Query Print Hlist

The *Progress Report Additional Materials (PRAM)* screen displays. The screen displays **Grant Information** on top and the files attached by the PD/PI in the **Additional Materials Requested by Agency** portion at the bottom. The attached files may be viewed or removed and additional PDF files may be added if necessary.

- Optional:* Select the document's **View** link in the **Action** column to view the attachment.
- Optional:* Select the document's **Delete** link in the **Action** column to remove the attachment.
- Optional:* Select the **Add Attachment** button to attach additional files. Up to 100 PDF files may be attached.

Before submitting, the SO also may **View** the PRAM as a PDF, **Route** it to another reviewer (or back to the PD/PI), and view the **Route History**. Select any of the appropriate buttons to perform these actions. Follow the steps below to continue submitting the PRAM.

- Select the **Submit** button.

Progress Report Additional Materials (PRAM) ?

Grant Information

Grant Number: [5K23HD123456-03](#)
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Reviewer Work in Progress
 Current Reviewer: Washington, George

Additional Materials Requested by Agency ?

Please provide additional materials

Upload file(s):

| Document Name | Action |
|---------------------|---|
| Sample Document.pdf | View Delete |
| Sample2 Doc.pdf | View Delete |

The *Submit PRAM to Agency* screen displays. By continuing from this screen, the SO certifies that the submitting organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement. The SO also verifies that the information provided in the PRAM is valid and accurate.

8. Read certification agreement. Select the **I Agree** button to continue submitting the information. (Selecting the **Cancel** button closes the screen and returns the *Progress Report Additional Materials* screen without submitting the material.)

Submit PRAM to Agency

In submitting these Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

| Application Information | |
|-------------------------|---|
| Grant Number: | 5K23HD123456-03 |
| Institution: | PRESIDENTIAL UNIVERSITY |
| PD/PI Name: | JEFFERSON, THOMAS |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Due Date: | 2013-03-15 |
| Current Reviewer: | Washington, George |
| PRAM Status: | Reviewer Work in Progress |

I Agree **Cancel**

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully submitted. The current reviewer is updated to NIH, the PRAM status is updated to Submitted to Agency, and the PRAM submission date is recorded. The routing history is updated to reflect the submission to Agency.

Progress Report Additional Materials (PRAM)

The progress report requested additional materials have been successfully submitted to PHS.

| Grant Information | |
|-------------------|---|
| Grant Number: | 5K23HD123456-03 |
| PD/PI Name: | JEFFERSON, THOMAS |
| Project Title: | A New Model for the Delivery of Well-Child Care |
| Institution: | PRESIDENTIAL UNIVERSITY |
| Status: | Submitted |
| Current Reviewer: | |

Additional Materials Requested by Agency

Please provide additional materials

Upload file(s): [Add Attachment](#)

[View](#) [View Routing History](#) [Route](#) [Recall](#) [Submit](#) [Cancel](#)

When PRAM is submitted to Agency, an email notification is sent to the PD/PI (Contact PI) on the grant, the submitting SO, the SO assigned to the RPPR, and AO assigned to the RPPR.

Once the IC Requested PRAM is submitted, the **View** button remains on the PRAM screen to provide a preview of the latest PRAM submission; however, the ability to view or delete the

individual attachments is removed. The ability to upload and submit additional attachments remains until the grant is awarded. Follow the steps provided in the [Initiating Agency Requested PRAM](#) section to add additional attachments ([starting with Step 3](#)).

NOTE: If multiple PRAM submissions were completed, selecting the **View** button only provides a preview of the latest PRAM submission. To view all submissions as one document, access the *Status Information* screen for the grant and select the PRAM link. [Refer to the section of this document titled *View Agency Requested PRAM from Status Information on Page 302* for more information.](#)

13.18.4 View Agency Requested PRAM from Status Information

After submitting Agency Requested PRAM, Commons users with access to the grant information may view the PRAM via the Status Information screen.

The *Status Information* is accessed by any of the following methods:

Select the **Grant Number** hyperlink from the *Progress Report Additional Materials (PRAM)* screen

Progress Report Additional Materials (PRAM) ?

Grant Information

Grant Number: [5K23HD123456-03](#)
PD/PI Name: JEFFERSON, THOMAS
Project Title: A New Model for the Delivery of Well-Child Care
Institution: PRESIDENTIAL UNIVERSITY
Status: Not Started
Current Reviewer:

Additional Materials Requested by Agency ?

Please provide additional materials

Upload file(s):

Select the **Application ID** hyperlink from *Status Result – List of Applications/Grants (PIs)*

Status Result - List of Applications/Grants

Notes & Tips:

- Important: The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|---------------------------------------|-----------------------|---|-------------------|---------------------|--|-------------|--|
| 5K23HD123456-03 | | A New Model for the Deliver of Well-Child Care | JEFFERSON, THOMAS | | Pending | 09/30/2012 | RPPR Agency Requested PRAM |
| 7DP1CA654321-04 (MPI) | GRANT00123456 | Crime & Punishment and the Effects on Mental Health | JEFFERSON, THOMAS | Submission Complete | Pending | 09/26/2012 | Transmittal Sheet |
| AN1234567 | GRANT00234567 | The Red Badge of Courage and Other Skin Disorders | JEFFERSON, THOMAS | Submission Complete | Application has been entered into computer | 08/22/2012 | Transmittal Sheet |

Export to Excel Show Query Print Hitlist

Select the **Application ID** hyperlink from *Status Result – General Search* (SOs)

Status Result - General Search

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | Application Status | Budget Start Date | FFATA | Show All Prior Errors | Action |
|---------------------------------|-----------------------|---|-------------------|--------------------|-------------------|-------|-----------------------|--|
| 5K23HD123456-03 | | A New Model for the Delivery of Well-Child Care | JEFFERSON, THOMAS | Pending | 05/01/2013 | Yes | | RPPR Agency Requested PRAM |

Export to Excel Show Query Print Hitlist

From the *Status Information* screen, select the hyperlink in the area marked **Progress Report Additional Material (PRAM)** in the **Other Relevant Documents** section.

| Status Information | | | |
|--|---|---|--|
| General Grant Information | | Other Relevant Documents | |
| Status: | Pending administrative review. Refer any questions to Program Official or Grants Management Specialist. | e-Application Institute/Center Progress Report Additional Material Request Progress Report Additional Material (PRAM) 04/08/2013 Times Revised (2) Additions for Review (2 Documents) | |
| Institution Name: | PRESIDENTIAL UNIVERSITY | | |
| School Name: | SCHOOL OF MEDICINE | | |
| School Category: | SCHOOLS OF MEDICINE | | |
| Division Name: | NONE | | |
| Department Name: | SURGERY | | |
| PI Name: | Jefferson, Thomas | | |
| Application ID: | 5K23HD123456-03 | | |
| Proposal Title: | A New Model for the Delivery of Well-Child Care | | |
| Proposal Receipt Date: | 03/18/2013 | | |
| Last Status Update Date: | 07/20/2012 | | |
| Budget Start Date: | 07/01/2013 | | |
| Budget End Date: | 06/30/2014 | | |
| Progress Report Due Date: | 05/15/2013 | | |
| Current Award Notice Date: | | | |
| Application Source: | RPPR | | |
| Project Period Begin Date: | 07/20/2012 | | |
| Project Period End Date: | 06/30/2014 | | |
| eApplication Status: | | | |
| FOA: | [PA00-123] - Biomarkers for Early Detection | | |
| NIH Appl. ID: | 1234567 | | |
| Status History | | | |
| Effective Date | Status Message | Institute or Center Assignment | Assignment Date |
| | | CHILD HEALTH AND DEVELOPMENT (Primary) | 07/20/2012 |
| Application Information | | Study Section | Advisory Council(AC) Information |
| Award Document Number: | RHD123456A | Scientific Review Group: | ABCD |
| FSR Accepted Code: | N | Council Meeting Date(YYYYMM): | 2013/00 |
| Snap Indicator Code: | Y | | |
| Impact Score: | | | |
| Percentile: | | | |
| Early Stage Investigator Eligible: | | | |
| New Investigator Eligible: | | | |
| Eligible for FFATA Reporting: | Yes | | |
| Reference Letter(s) | | | |
| This list shows Reference Letters associated with this particular Grant Application. Principal investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eRA Commons | | | |
| Contacts | | | |
| Administration | Name | Phone | Email |
| Grants Management Specialist(GMS) | Franklin, Benjamin | 301-555-1234 | Franklin@email.com |
| Program Official(PO) | Ross, Betty | 301-555-4567 | Ross@email.com |
| Close | | | |

The Progress Report Additional Materials file opens as a PDF document. The file is formatted to provide an information header section for each PRAM submission followed by the attached documents provided during that submission. If multiple submissions of Agency Requested PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions in reverse chronological order. Information in the document can be navigated using the provided bookmarks on the left.

| Progress Report Additional Materials | | FINAL |
|--|---|-------|
| Grants Management Progress Report Additional Materials | | |
| Grant Number: | 5K23HD123456-03 | |
| PO/PI Name: | Jefferson, Thomas | |
| Project Title: | A New Model for the Delivery of Well-Child Care | |
| PRAM submitted on: | 2013-04-08 14:57:02.0 | |
| File Uploaded: | Sample Document.pdf | |
| File Uploaded: | Sample2 Doc.pdf | |

| Bookmarks |
|--|
| Additional Materials requested by IC 2013-04-13 14:57:02.0 |
| Sample Document.pdf |
| Sample2 Doc.pdf |
| Additional Materials requested by IC 2013-04-09 15:10:04.0 |
| Sample3.pdf |

14 Internet Assisted Review (IAR)

Internet Assisted Review (IAR) is an Electronic Research Administration (eRA) module used in tandem with the Peer Review module to help expedite the scientific review of grant applications by providing a standard process for Reviewers to submit their critiques, preliminary scores, and final scores and to view grant applications and related meeting materials via Commons. IAR also has the ability to enable Reviewers to view the critiques of others before the actual meeting (unless conflicts of interest exist). As a result, review meetings can contain more informed discussions.

If you hold the IAR role - and you are enabled for review meeting(s) - you can access the features included in the module.

IAR has its own online help system for Reviewers. If you hold an IAR role, you can access the IAR online help system for Reviewers by selecting any of the question mark (?) help icons on the screens within the module or access it directly via this link: http://era.nih.gov/erahelp/IAR_Rev.

NOTE: Currently, the IAR online help is geared towards Reviewers and is only available from the screens accessible by users with IAR roles. An IAR online help system for SROs is planned for the future.

15 xTrain

The xTrain module provides external and internal users with online capabilities for working with trainee appointments and the termination notices of trainees and fellows.

If you hold one of the following roles, you can access xTrain and its features:

- TRAINEE
- PI
- SO
- BO
- SPONSOR
- ASST (when delegated by SPONSOR or PI)

xTrain has its own online help system. You can access the xTrain online help by selecting any of the question mark (?) help icons on the screens within the module or access it directly via this link <http://era.nih.gov/erahelp/xTrain>.

Policy: [Ruth L Kirschstein National Research Service Awards](#)

Policy: [Reporting and Assurance Requirements for Institutions Receiving Awards for Training of Graduate Students for Doctoral Degree](#)

16 Administrative Supplement Request

The Administrative Supplements module in eRA Commons allows authorized staff at extramural grantee institutions to initiate and submit an electronic request for additional funds within the scope of the approved project.

The following features are available:

- Initiate, edit, delete and route an Administrative Supplement request
- View an Administrative Supplement request
- View routing history

For more information, refer to the Administrative Supplements topic of the Commons Online Help System (<http://era.nih.gov/erahelp/commons/>) or the *eRA Commons Administrative Supplement Module User Guide* (http://era.nih.gov/files/eRA_Commons_Admin-Supp_UG.pdf).

17 Change of Institution Overview

The Commons Change of Institution process allows the extramural grantee institution to submit an electronic version of a Relinquishing Statement (RS) to the Grants Management community for processing and allows the other grantee institution that is proposed to take over the relinquished grant to access the submitted RS.

The institution holding the grant must complete a Relinquishing Statement through eRA Commons that states it is giving up the grant and identifies the receiving institution. The receiving institution must submit an application via Grants.gov using the Parent Funding Opportunity Announcement listed at https://grants.nih.gov/grants/guide/parent_announcements.htm. Please look for an NIH Guide Notice.

NOTE: This functionality only applies to NIH grants. This is an open pilot. This means that either the electronic process documented here can be used or the traditional paper process can be used.

17.1 Features

The Commons system has the following features to accommodate a Change of Institution:

- Create, view, update, save, submit, and route the RS via the Commons Status screen
- Create RS in PDF format upon submitting the RS to the Agency
- Event generated and time sensitive eMail Notifications to appropriate users

17.2 Users

The following users are involved in the Change of Institution process.

1. Signing Official (SO)
 - a. The original institution's SO can perform the following RS functions: Start a new one, View, Edit, Save, Route, Cancel, Delete and Submit RS to Agency.
 - b. The receiving institution's SO can perform the following functions: View RS
2. Project Director/Principal Investigator (PD/PI)
 - a. The original institution's PD/PI can perform the following RS functions: View, Edit, Save, Cancel changes, and Route the RS to the SO for submitting to the Agency.
3. NIH Internal User
 - a. The internal user can perform the following RS functions: View, Save, Cancel changes, and Link the RS.
4. Grants Management Official (GMO) or Grants Management Specialist (GMS)
 - a. The GMO or GMS can perform the following RS functions: View, Receive, and Return the RS.

17.3 Business Rules

17.3.1 Eligible Grants

All awarded and active grants are eligible to be relinquished except for the ones with the following statuses:

- 02 – Withdrawn
- 21 – Ineligible organization - application withdrawn
- 30 – Withdrawn by Institute/Center (IC)
- 34 – Administratively withdrawn by IC prior to review or council

Subprojects, Institutional Allowances, and Supplements are excluded from being eligible.

RS(s) may be submitted for any activity code.

17.3.2 Access to Relinquishing Statements

Only users with the SO authority at the grantee institution can access the Change of Institution option on the Commons Status screen.

The RS can be accessed only by the SO for grant applications from their grantee institution eligible for transfer.

Only the SO for the grantee institution has the authority to submit the RS to the Agency.

The RS can be accessed by the PD/PI for grantee applications where the PD/PI role is the current reviewer of the RS.

The internal user is able to access the RS in Submitted or Accepted for Consideration status and is able to update the New Institution Name, IPF code and DUNS number of the new institution to which a grant is relinquished.

17.3.3 Relinquishing Statement Reviewers

If the SO initiated the RS and routed it to the PD/PI, then the PD/PI can review, edit specific fields, save and route the RS back to the SO.

Any SO at the grantee institution is able to create, review, edit, save, route, and submit the RS.

17.3.4 Relinquishing Statement Routing Order

The next reviewer in the list of valid next reviewers is always the contact PD/PI on the application. The current user is not shown in the list of valid next reviewers on the RS. If SO is the current reviewer, then the contact PD/PI is the next reviewer by default.

If the PD/PI is the current reviewer, the SO who initiated the RS is the first and default entry in the list on the RS. All other users with the SO role appear alphabetically by last name after the first

entry. The information displayed for each valid next reviewer is as follows: Name (LAST, FIRST).

If the SO routes the RS to the PD/PI, the Route to Next Reviewer screen is named: Route to PD/PI.

If the PD/PI routes the RS to the SO, the Route to Next Reviewer screen is named: Route to SO.

The RS can be routed back and forth between the SO and the PD/PI for an unlimited number of times.

17.3.5 Validation

PD/PI verification is not required. The SO is able to submit the RS without routing it to the PD/PI.

The PD/PI has edit capability only for the New Institution Name information and Contact information in the new Institution Section of the RS.

Saving the RS does not execute any validations. The RS is validated upon submitting it to the Agency. The exception is that new Institution data is validated upon routing the RS by the PD/PI to the SO.

The RS cannot be submitted to the Agency with validation errors, but the RS can be submitted to Agency with validation warnings.

RS(s) submitted for pre-award are not validated for the costs relinquished. They can be zero or the original application's requested funds amounts.

17.3.6 Other Rules

The system allows multiple RS submissions. The SO is able to submit a new RS only if no RS has been submitted or if the existing RS(s) have been acknowledged (Accepted for Consideration or Refused status) by the Grants Management Specialist (GMS) user.

The RS can be deleted by the SO from the relinquishing institution if it is in the SO Work In Progress (WIP) state and has never been submitted to the Agency.

All submitted and accepted versions of the RS(s) are visible to the receiving institution.

Grant applications for the new institution should be submitted within thirty days after the Relinquishing Statement is submitted from the former institution.

The Relinquishing Statement should be submitted within thirty days of the grant application for the new institution.

17.4 Relinquishing SO Responsibilities

17.4.1 Start or Edit a Relinquishing Statement

The Change of Institution process is initiated by the Signing Official for the original grantee institution that has agreed to relinquish responsibility for an active grant. This must occur before the expiration of the approved project period.

1. On the *Commons Status* screen, click on the **Change of Institution** link.

The screenshot shows the eRA Commons Status page. The left sidebar contains a list of links: General Search, Just in Time, Pending Progress Report, Recently Awarded, Recent Pending eSubmissions, Closed, and Change of Institution (highlighted with a red circle). The main content area displays the General Search form with fields for Grant Number, Accession Number, Grants.gov Tracking #, PI Name (Last and First), Application Status, Budget Start Date, Budget End Date, and Organization Hierarchy (School, Division, Department). The form includes a Search button and a Clear button.

The system displays the *Status – Change of Institution* search options.

2. To find the grant to relinquish, complete at minimum the required fields: **Institution Code** and **Serial Num.**

NOTE: The required fields are noted by an asterisk.

- Click the **Search** button.

The screenshot shows the eRA Commons Status page. In the left sidebar, the 'Change of Institution' link is highlighted with a red circle. The main content area contains two search forms. The top form, 'Search for Grants', has fields for Grant Number, Type, Activity Code, Institution Code, Serial Num, and Support Yr. Suffix. The 'Institution Code' and 'Serial Num' fields are highlighted with a red circle. Below these fields are fields for PI Name (Last and First) and a 'Search' button, which is also highlighted with a red circle. The bottom form, 'Search for Relinquishing Statements', has similar fields and a 'Search' button.

The system displays the search results on the *Status Result – Change of Institution* screen.

NOTE: The RS functionality is not available from other Status search result's screens.

- After the grant to be relinquished is found, click on the **Manage Relinquishing Statement** link on the *Status Result – Change of Institution* screen.

The screenshot shows the 'Status Result - Change of Institution' screen. It displays a table with the following columns: Application ID, Proposal Title, PI/PI Name, Budget Start Date, Budget End Date, and Action. The first row of data is highlighted, showing Application ID 5R01MH 123456-11, Proposal Title Principles of Behavior Change: Choice and Content, PI/PI Name FANTINO, SAM, Budget Start Date 07/01/2010, and Budget End Date 06/30/2011. The 'Manage Relinquishing Statement' link in the Action column is highlighted with a red circle.

| Application ID | Proposal Title | PI/PI Name | Budget Start Date | Budget End Date | Action |
|------------------|---|--------------|-------------------|-----------------|--------------------------------|
| 5R01MH 123456-11 | Principles of Behavior Change: Choice and Content | FANTINO, SAM | 07/01/2010 | 06/30/2011 | Manage Relinquishing Statement |

The system displays the *Manage Relinquishing Statement* screen.

If the award is in a no cost extension or within three months of the project period end date, the following informational pop-up message appears:

You have selected an award in a no-cost extension/within three months of the project period end date. NIH Institutes & Centers (ICs) policies may limit change of grantee organization requests based on the amount of time

remaining on the award. Please contact the awarding IC to determine IC policy.

If this pop-up message screen appears, click the **OK** button to proceed to the *Manage Relinquishing Statement* screen.

5. To start a new RS: Click the **Start a new RS** button.

NOTE: If an RS has already been submitted, a new RS cannot be submitted unless the prior RS(s) shows a status of *Accepted for Consideration* or *Refused*.

The screenshot shows the 'Manage Relinquishing Statement' page in the eRA Commons. The header includes the eRA Commons logo, 'Sponsored by National Institutes of Health', and user information: 'Welcome Institution: UNIVERSITY OF CALIFORNIA Authority: SO'. The main content area displays the following information:

| | | | |
|--|--|---------------|------------------|
| POPI Name: | FANTINO, SAM | Grant Number: | 5R01MH 123456-11 |
| Grantee Institution Relinquishing the Grant: | UNIVERSITY OF CALIFORNIA | | |
| Address: | 9500 GILMAN DR, DEPT 0934 LA JOLLA, CA, UNITED STATES 920930934 | | |

Below the table, it states: 'No Relinquishing Statements have been submitted for this grant yet.' At the bottom, there are two buttons: 'Start a new RS' (highlighted with a red circle) and 'Cancel'.

The screenshot shows the 'Manage Relinquishing Statement' page in the eRA Commons. The header includes the eRA Commons logo, 'Sponsored by National Institutes of Health', and user information: 'Welcome: Sandy Beach Institution: EMORY UNIVERSITY Roles: SO'. The main content area displays the following information:

| | | | |
|--|--|---------------|------------------|
| POPI Name: | Beach, Sandy | Grant Number: | 1R03CA99999-01A1 |
| Grantee Institution Relinquishing the Grant: | EMORY UNIVERSITY | | |
| Address: | 1599 CLIFTON ROAD, 4TH FLOOR, MAILSTOP: 1599-001-1BA ATLANTA, GA, UNITED STATES 30322 | | |

Below the table, it states: 'A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.' Below this is a table of existing statements:

| Relinquishing Statement(s) | Application ID | POPI Name | RS Submitted Date | Status of RS | Action |
|----------------------------|------------------|--------------|---------------------|----------------------------|---|
| | 1R03CA99999-01A1 | Beach, Sandy | 03/22/2012 11:54:59 | Accepted for Consideration | View View Routing History |

At the bottom, there are two buttons: 'Start a new RS' (highlighted with a red circle) and 'Cancel'.

6. To edit a RS that is in progress: Click the **Edit** link.

NOTE: To edit an RS, the RS's status must be SO Work in Progress (WIP) or Returned.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO

Version 2.30.01
Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Manage Relinquishing Statement

PO/PI Name: FANT, SAMUEL Grant Number: 5R01MH123456-13
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR, DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.

| Relinquishing Statement(s) | Application ID | PO/PI Name | RS Submitted Date | Status of RS | Action |
|----------------------------|----------------|------------|-------------------|---------------------|--|
| 5R01MH123456-13 | FANT, SAMUEL | | | SO Work in Progress | Edit Delete View Routing History |

When either the **Start a new RS** button or **Edit** link is selected, the system displays the *Relinquishing Statement* screen.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO

Version 2.30.01
Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Relinquishing Statement

PO/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-13
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR, DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

New Institution Name:
The institution where PO/PI has expressed a desire to continue his/her research

DUNS Number:
IPF Code:
Contact Email at the Institution:
Requested Termination Date (MM/DD/YYYY):
The date the grant will be terminated at the current institution

Equipment Transferring with the Project

Equipment Costing \$5000 or More Transferring with the project (Itemize):
Limit to 2000 characters

Unexpended Balance - Estimated

That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited.
The unexpended balance on termination date calculated on basis of total amount awarded for the grant year, will be:

Direct Cost, \$:
Indirect Cost, \$:
Total, \$:

7. Complete or edit the RS Form as follows:

NOTE: The required fields are noted by an asterisk. The following fields are required: **New Institution Name**, **Contact Email at the Institution**, **Requested Termination Date (MMDDYYYY)**, and **Direct Cost \$**.

- Click the **Search** button in the **New Institution Name** section to search for the receiving institution within the NIH eRA Commons database. For more information please refer to the topic titled [Search for Institution on Page 315](#).
- Complete the remaining fields: **Contact Email at the Institution**, **Requested Termination Date (MMDDYYYY)**, **Direct Cost \$**, and **Indirect Cost \$**.
- Type, NONE, in the **Equipment Transferring with the Project** section if there is no equipment to be transferred.

8. To save the RS, click the **Save** button.

The system displays the RS Form on the *Relinquishing Statement* screen and sets its status to *SO Work in Progress*.

17.4.2 Search for Institution

When the **Search** button is clicked for the **New Institution Name:** field on the *Manage Relinquishing Statement* screen, the system displays the *New Institution – Search* screen.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health
 Version 2.29.01

Welcome alinak_so
 Institution: UNIVERSITY OF CALIFORNIA SAN DIEGO
 Authority: SO
 Log out

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

New Institution - Search

At least one search criteria is required.

Institution Name:

IPF Number:

DUNS Number:

To select the institution - click on IPF number.

| Organization | IPF Code | DUNS Number | Location |
|---------------|----------|-------------|-----------------------|
| KEUKA COLLEGE | 4256001 | | KEUKA PARK, NY, 14478 |

If the required institution has not been found - type the institution name in the box provided below and insert into Relinquishing Statement form.

New Institution Name:

To search for an institution:

1. Type in the receiving institution's name, IPF or DUNS number and click the **Search** button.

New Institution - Search ?

At least one search criteria is required.

Institution Name: **Search**

IPF Number:

DUNS Number:

2. If the receiving institution is found, click on the receiving institution's **IPF Code**.

New Institution - Search ?

At least one search criteria is required.

Institution Name: **Search**

IPF Number:

DUNS Number:

To select the Institution - click on IPF number.

| Organization | IPF Code | DUNS Number | Location |
|---------------|----------|-------------|-----------------------|
| KEUKA COLLEGE | 1234567 | 123456789 | KEUKA PARK, NY, 14478 |

The system inserts the receiving institution's name, DUNS number and IPF Code in the appropriate text boxes on the *Relinquishing Statement* screen.

If a new institution is registered with the eRA Commons, it is highly recommended to choose it from the search results. DUNS Number and IPF code are pre-populated from the institutional profile file.

The IPF Code is used to link the submitted RS to the receiving institution and to make it viewable for SO at the receiving institution.

3. If the receiving institution is not found, type the receiving institution's name in the **New Institution Name** text box and click the **Insert** button.

New Institution - Search ?

At least one search criteria is required.

Institution Name:

IPF Number:

DUNS Number:

If the required Institution has not been found - type the Institution name in the box provided below and insert into Relinquishing Statement form.

New Institution Name:

The system inserts the new receiving institution's name in the appropriate text box on the *Manage Relinquishing Statement* screen.

NOTE: If the receiving institution is not registered in the NIH eRA Commons (IPF Code is not provided), it may not be able to view the relinquishing statement until it is registered in the eRA Commons. The New Institution needs to register in the eRA Commons and contact the eRA Service Desk for assistance in linking the relinquishing statement to the new institution account.

17.4.3 Delete a Relinquishing Statement

The RS may be deleted if the RS is in *SO Work in Progress* state and has *never* been submitted to the Agency.

1. To delete an RS, click the **Delete** link on the *Manage Relinquishing Statement* screen.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO

Version 2.30.01
Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Manage Relinquishing Statement ?

POPI Name: SHORTS, JIM Grant Number: 5R01MH23456-13
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR. DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.

| Relinquishing Statement(s) | Application ID | POPI Name | RS Submitted Date | Status of RS | Action |
|----------------------------|----------------|-------------|-------------------|---------------------|--|
| 5R01MH23456-13 | | SHORTS, JIM | | SO Work in Progress | Edit Delete View Relinqu History |

The system displays the RS in a non-editable form and the following message appears on the *Delete Relinquishing Statement* screen:

Please confirm that you would like to delete the following relinquishing statement.

If you no longer wish to delete the RS, you may abort the action by selecting the **Cancel** button.

2. Click the Delete button on the Delete Relinquishing Statement screen to delete the RS.

If the **Delete** button is clicked, the system deletes all data associated with the RS and returns to the *Manage Relinquishing Statement* screen.

17.4.4 Route to PD/PI

SOs can route the relinquishing statement to the PD/PI for if necessary.

To route the RS to the appropriate PD/PI:

1. Click the **Route to PI** button on the bottom of the *Relinquishing Statement* screen.

The *Route Relinquishing Statement* screen appears. The **Next Reviewer** field displays the contact PD/PI.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health
Version 2.29.01

Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO
Log out

Home Admin Institution Profile Personal Profile **Status** eSNAP xTrain Links eRA Partners Help

Route Relinquishing Statement

PD/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-11
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR, DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

Next Reviewer: FANTINO, SAM
Comments:

Route to PI Cancel

2. *Optional:* Enter comments as necessary.
3. Select the **Route to PI** button.

The system displays *Route Relinquishing Statement* screen with the confirmation message and sends an email notification to the PD/PI regarding the RS. For more information please refer to the section titled [eMail Notifications](#).

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health
Version 2.29.01

Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO
Log out

Home Admin Institution Profile Personal Profile **Status** eSNAP xTrain Links eRA Partners Help

Route Relinquishing Statement

The relinquishing statement was routed to FANTINO, SAM

OK

4. Click the **OK** button to go back to the *Manage Relinquishing Statement* screen.

The system returns to the *Manage Relinquishing Statement* screen.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health
Version 2.29.01
Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO
Logout

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Manage Relinquishing Statement

PD/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-11
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR, DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.

| Relinquishing Statement(s) | | | | |
|----------------------------|--------------|-------------------|------------------------|---|
| Application ID | PD/PI Name | RS Submitted Date | Status of RS | Action |
| 5R01MH 123456-11 | FANTINO, SAM | | PD/PI Work in Progress | View View Routing History |

[Cancel](#)

The **Status of RS** field displays *PD/PI Work in Progress*. If the routing process was canceled (**Cancel** button) before completion, the **Status of RS** field displays *SO Work in Progress*.

17.4.5 Submit a Relinquishing Statement

Only an institution's Signing Official can submit a Relinquishing Statement to the Agency.

To submit the Relinquishing Statement:

1. Click the **Submit** button on the *Relinquishing Statement* screen.

The screenshot shows the 'Relinquishing Statement' form in the eRA Commons system. The form is titled 'Relinquishing Statement' and includes a navigation bar with links like Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, eRA Partners, and Help. The form contains several sections: POPI Name (SEMPLE, MARY), Grantee Institution Relinquishing the Grant (UNIVERSITY OF CALIFORNIA SAN DIEGO), Address (9500 GILMAN DR, DEPT 0934, LA JOLLA, CA, UNITED STATES 920930934), Grant Number (5R01MH 123456-11), New Institution Name (COLLEGES OF THE SENECA, DBA HOBART AND WILLIAM SMITH CO), DUNS Number (079680203), IPF Code (3368701), Contact Email at the Institution (shortsjin@uhs.edu), Requested Termination Date (03/01/2011), Equipment Transferring with the Project (empty text area), and Unexpected Balance - Estimated (Direct Cost: 378629.00, Indirect Cost: 206353.00, Total: 584982.00). At the bottom, there are buttons for 'Save', 'Cancel', 'Route to PI', and 'Submit'. The 'Submit' button is highlighted with a red circle.

NOTE: The institution name and contact information are required at the time of submission to the Agency.

The system displays the *Submit Relinquishing Statement to NIH* screen. The Certification Acceptance Statement is displayed and reads as follows:

APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE:

In view of the fact that we do not wish to nominate another program director/principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of [Requested Termination Date] and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project.

That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited

I certify that the statements herein are true, complete and accurate to the best of my knowledge and belief, and accept the obligation to comply with Public Health Services terms and conditions if a grant is terminated as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

2. Click the **I Agree** button to submit the RS or click the **Cancel** button to exit the screen.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Version 2.30.01

Submit Relinquishing Statement to NIH

PDI Name: KELSEY, JEFFERY
Grant Number: 2R01MH123456-11
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR. DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE
In view of the fact that we do not wish to nominate another program director/principal investigator or continue the research project at this institution, this is to signify our willingness to terminate this grant as of 05/01/2011 and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project. That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited. I certify that the statements herein are true, complete and accurate to the best of my knowledge and belief, and accept the obligation to comply with Public Health Services terms and conditions if a grant is terminated as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

If the **Cancel** button is clicked, the following screen message appears:

This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.

If the **Cancel** button is clicked, the following screen message appears:

This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.

When the **I Agree** button is clicked, the system displays the *Manage Relinquishing Statement* screen with the following message:

The Relinquishing Statement has been submitted to NIH.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health
 Version 2.29.01
 Welcome Institution: UNIVERSITY OF CALIFORNIA Authority: SO Log out

Home Admin Institution Profile Personal Profile **Status** eSNAP xTrain Links eRA Partners Help

Manage Relinquishing Statement
 The relinquishing statement has been submitted to NIH

PD/PI Name: SEMPLE, MARY Grant Number: 5R01MH 123456-11
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA SAN DIEGO
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

A new Relinquishing Statement may be submitted for the same grant if the existing ones have been acknowledged by NIH.

| Relinquishing Statement(s) | Application ID | PD/PI Name | RS Submitted Date | Status of RS | Action |
|----------------------------|----------------|------------|---------------------|---|--------|
| 5R01MH | SEMPLE, MARY | 02/18/2011 | Submitted to Agency | View View Routing History | |

Cancel

The system also creates the RS PDF file. If the system takes from thirty seconds to two minutes to generate the RS, then the system displays an informational message.

The next reviewer is internal NIH user.

The system returns to the *Manage Relinquishing Statement* screen. The **Status of RS** field displays *Submitted to Agency*.

For post awarded and post review applications, email notifications are sent to the centralized IC mailbox, the currently assigned GMS, and the PO. For pre-review applications, email notifications are sent to the Division of Receipt and Referral (DRR), the SRO if assigned, and the receiving institution contact email provided on the RS electronic form. For more information please refer to the section titled [eMail Notifications](#).

- To **View** the RS or **View Routing History**, click the appropriate link. Please refer to the topics titled [Signing Official Search/View Relinquishing Statement on Page 328](#) or [PD/PI Search/View Relinquishing Statement on Page 335](#) for more information.

17.5 Program Director/Principal Investigator Responsibilities

If the Relinquishing Statement is routed to a PD/PI, the RS may be edited and routed back to the SO at the relinquishing institution. The PD/PI may edit only the institution information and contact email address.

17.5.1 Edit Relinquishing Statement

Perform the following steps to find and edit a Relinquishing Statement:

- Find the appropriate grant on the *Status Result – List of Applications* screen and click the **Relinquishing Statement** link.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health

Welcome EFAN
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: IAR PI

Version 2.29.01

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review xTrain Links eRA Partners Help

Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

Status Result - List of Applications/Grants

Important: The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 100 and 300 if no percentile is provided. Please await instructions from the NIH on whether to complete this information. Furthermore, there is a system problem with the Commons, which shows the JIT link for NRSA applications (Fellowships and Training applications). Please do not complete the JIT information for these types of applications. Finally, JIT requires a Signing Official (SO) at your institution to send the request to the NIH. As a Principal Investigator, you are able to save this information. However, you must notify an individual with SO rights to forward the information to the NIH. Thank you for your cooperation.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click List of Applications/Grants menu tab again.

| Application ID | Grants.gov Tracking # | Proposal Title | PO/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|-----------------|-----------------------|---|--------------|----------------------|-------------------------------|-------------|---|
| ER01MH123456-05 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | | Awarded: Non-fellowships only | 07/16/2002 | |
| ER01MH123456-12 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Submission Complete | Awarded: Non-fellowships only | 07/30/2009 | |
| ER01MH123456-04 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | | Awarded: Non-fellowships only | 09/18/2001 | |
| ER01MH123456-13 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Submission Complete | Awarded: Non-fellowships only | 06/29/2010 | Relinquishing Statement |
| ER01MH123456-11 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Submission Complete | Awarded: Non-fellowships only | 06/24/2008 | |
| ER01MH123456-09 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | Submission Complete | Awarded: Non-fellowships only | 06/27/2005 | |
| ER01MH123456-06 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | | Awarded: Non-fellowships only | 07/16/2003 | |
| ER01MH123456-02 | | NONOPTIMAL AND COUNTERINTUITIVE CHOICE | FANTINO, SAM | | Awarded: Non-fellowships only | | |
| ER01MH123456-09 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Pending Verification | Awarded: Non-fellowships only | 05/05/2006 | |
| ER01MH123456-03 | | NONOPTIMAL AND COUNTERINTUITIVE CHOICE | FANTINO, SAM | | Awarded: Non-fellowships only | 06/27/2000 | |
| ER01MH123456-07 | | Nonoptimal and counterintuitive choice | FANTINO, SAM | | Awarded: Non-fellowships only | 06/29/2004 | |
| ER01MH123456-10 | | Principles of Behavior Change: Choice and Context | FANTINO, SAM | Submission Complete | Awarded: Non-fellowships only | 06/26/2007 | |

Export to Excel Show Query Print History

NOTE: If there are multiple PIs for a grant, the letters MPI appear to the right of the Application ID.

The system displays the *Relinquishing Statement* screen.

2. *If necessary:* To add or change the institution information on the RS form, click the **Search** button in the **New Institution Name** section to search for the receiving institution within the NIH eRA Commons database. For more information please refer to the [Search for Institution](#) topic.

The system inserts the new receiving institution's name in the appropriate text box on the *Manage Relinquishing Statement* screen.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health
Version 2.30.01
Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: PI
Log out

Relinquishing Statement

PD/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-13
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR, DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

New Institution Name:
The Institution where PD/PI has expressed a desire to continue his/her research
DUNS Number:
IPF Code:
Contact Email at the Institution:
Requested Termination Date (MM/DD/YYYY):
The date the grant will be terminated at the current Institution

Equipment Transferring with the Project
Equipment Costing \$5000 or More Transferring with the project (Itemize):
Limit to 2000 characters

Unexpended Balance - Estimated
That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited
The unexpended balance on termination date calculated on basis of total amount awarded for the grant year, will be:
Direct Cost, \$:
Indirect Cost, \$:
Total, \$:

4. *If necessary*: Complete the **Contact Email at the Institution** address.

NOTE: The email address should be in the following format: user_name@domain_name.com.

Electronic Research Administration
eRA Commons
 Sponsored by National Institutes of Health

Welcome EFAN
 Institution: UNIVERSITY OF CALIFORNIA
 Authority: IAR PI [Log-out](#)

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review xTrain Links eRA Partners Help

[Accounting/Reporting & Submissions](#) [List of Applications/Grants](#) [Search by Grants.gov Tracking Item](#)

Relinquishing Statement

PO/PI Name: FANTINO, SAM Grant Number: 5R01MH123456-13
 Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
 Address: 9500 GILMAN DR, DEPT 0934
 LA JOLLA, CA, UNITED STATES 920930934

New Institution Name:
 The institution where PO/PI has expressed a desire to continue his/her research

DUNS Number:
 IPF Code:

Contact Email at the Institution: (circled in red)
 Requested Termination Date (MM/DD/YYYY):
 The date the grant will be terminated at the current institution

Equipment Costing \$5000 or More Transferring with the Project (Itemize):
 Limit to 2000 characters

Unexpected Balance - Estimated
 That portion of the estimated unexpected balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited
 The unexpected balance on termination date calculated on basis of total amount awarded for the grant year, will be:

Direct Cost, \$:
 Indirect Cost, \$:
 Total, \$:

(both circled in red)

If the email address is not entered, an error message is produced. For more information please refer to the section titled [Error Messages](#).

5. Perform one of the following on the *Relinquishing Statement* screen:
 - a. To save the edits to the RS, click the **Save** button.
 - b. To cancel editing the RS, click the **Cancel** button.

17.5.2 Route Relinquishing Statement to SO

After the appropriate edits have been made to the RS, the RS is routed back to the SO for submission to the Agency. To route the RS back to the SO:

1. Select the **Route to SO** button on the *Relinquishing Statement* screen.

If the new institution name has not been provided, then the following warning message is displayed:

The New Institution Name has not been provided. This information will be required at time of submission to agency.

If the new institution's name is not blank, the new institution's IPF number has to be provided. If the IPF number is not provided, then the following warning message is displayed:

You have selected an institution not registered in the NIH eRA Commons. Please verify the institution information. The new institution may not receive notification and will not be able to view the relinquishing statement until it is registered in the NIH Commons. The New Institution will need to register in the eRA Commons and contact the eRA Service Desk to access the relinquishing statement.

The system displays the *Route Relinquishing Statement* screen. The **Next Reviewer** is the relinquishing SO. If there is multiple SOs at the relinquishing institution, the **Next Reviewer** drop down menu can be used to select the appropriate SO to route the RS to that person. The names are displayed as last name, first name.

2. Click on the **Route to SO** button to route the RS to the SO.

If you wish to abort the action, selecting the **Cancel** button to return to the *Relinquishing Statement* screen.

The screenshot shows the eRA Commons interface. The top navigation bar includes links like Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, Internet Assisted Review, xTrain, Links, eRA Partners, and Help. The main title is 'Route Relinquishing Statement'. The form contains the following information:

- PDPI Name:** FANTRIC, SAM
- Grantee Institution Relinquishing the Grant:** UNIVERSITY OF CALIFORNIA SAN DIEGO
- Address:** 9500 GILMAN DR, DEPT 0934, LA JOLLA, CA, UNITED STATES 920930934
- Grant Number:** 5R01MH123456-13
- Next Reviewer:** A dropdown menu with 'KHAZMUTDINOVA MARY' selected.
- Comments:** A text area for additional remarks.

At the bottom of the form, there are two buttons: 'Route to SO' and 'Cancel', both of which are highlighted with a red circle.

If the **Route to SO** button is clicked, the system displays the *Route Relinquishing Statement* screen with an OK button. The following message is displayed: *The relinquishing statement was routed to <next reviewer commons user id>.*

3. Click the **OK** button to complete the routing to the relinquishing SO.

An email notification is sent to the selected SO notifying that the RS has been routed back. For more information please refer to the section titled [eMail Notifications](#).

17.5.3 Signing Official Search/View Relinquishing Statement

Perform the following steps to search for a grant to relinquish or to view an RS:

1. Click the **Change of Institution** link on the *Status* screen.

The system displays the *Status – Change of Institution* screen.

The screenshot shows the eRA Commons Status page. The header includes the eRA Commons logo, "Sponsored by National Institutes of Health", and a welcome message for the University of California. The main navigation bar contains links: Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, xTrain, Links, eRA Partners, and Help. The Status page has a left sidebar with links: General Search, Just in Time, Pending Progress Report, Recently Awarded, Recent Pending eSubmissions, Closeout, and Change of Institution. The main content area features two search forms. The first form, "Search for Grants", has fields for Grant Number, Type, Activity Code, Institution Code, Serial Num., Support Yr., and Suffix, along with PI Name (Last and First). The second form, "Search for Relinquishing Statements", has similar fields. Both forms have "Search" and "Clear" buttons. Red circles highlight the "Search" buttons in both forms.

17.5.3.1 Search for a Grant to Relinquish or to View RS

NOTE: This search is designed for the SOs at the original (relinquishing) institution. For steps on performing a search as a PD/PI, refer to the topic titled [PD/PI Search/View Relinquishing Statement on Page 335](#).

1. Enter the appropriate search criteria in the **Search for Grants** section on the *Status – Change of Institution* screen. At minimum the required fields must be populated: **Institution Code** and **Serial Num.**
2. Select the **Search** button.

This is a close-up of the "Search for Grants" form. It shows the input fields for Grant Number, Type, Activity Code, Institution Code, Serial Num., Support Yr., and Suffix. Below these are fields for PI Name (Last and First). At the bottom are "Search" and "Clear" buttons. A red circle highlights the "Search" button.

The system displays the *Status Results – Change of Institution* screen.

- Click on the *Manage Relinquishing Statement* link.



The system displays the *Manage Relinquishing Statement* screen.

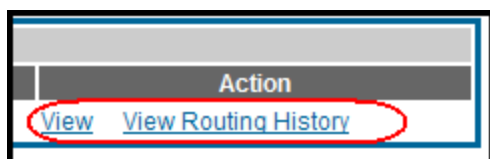
If the RS has been routed to the PD/PI by the SO or the RS has been submitted to the Agency, then the **View** and **View Routing History** links appear.



If the RS has been submitted to the Agency and returned from NIH for corrections or the RS's status is *SO Work in Progress*, then the **Edit** and **View Routing History** links appear.

NOTE: For editing the RS, refer to the section titled [Manage Relinquishing Statement](#).

- To view the RS, click the **View** link.



If the RS has not been submitted to NIH, then the system displays the non-editable *Relinquishing Statement* screen. You can select the **Cancel** button on the *Relinquishing Statement* screen to return to the *Manage Relinquishing Statement* screen.

Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health
Version 2.29.01

Welcome
Institution: UNIVERSITY OF CALIFORNIA
Authority: SO
Log out

Home Admin Institution Profile Personal Profile Status eSNAP xTrain Links eRA Partners Help

Relinquishing Statement

PO/PI Name: FANTINO, SAM Grant Number: 5R01MH 123456-11
Grantee Institution Relinquishing the Grant: UNIVERSITY OF CALIFORNIA
Address: 9500 GILMAN DR, DEPT 0934
LA JOLLA, CA, UNITED STATES 920930934

New Institution Name: * KEUKA COLLEGE
The institution where PO/PI has expressed a desire to continue his/her research
DUNS Number: *
IPF Code: 4256001
Contact Email at the Institution: *
Requested Termination Date (MM/DD/YYYY): *
The date the grant will be terminated at the current institution

Equipment Transferring with the Project
Equipment Costing \$5000 or More Transferring with the project (Itemize):
Limit to 2000 characters

Unexpected Balance - Estimated
That portion of the estimated unexpected balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited
The unexpected balance on termination date calculated on basis of total amount awarded for the grant year, will be:

Direct Cost, \$: 131085.00
Indirect Cost, \$: 71441.00
Total, \$: 202526.00

Cancel

If the RS has been submitted to NIH, then the system displays the RS in PDF format in a separate window.

Department of Health and Human Services, Public Health Service
**Official Statement Relinquishing Interests and
Rights in a Public Health Service Research Grant**

Date: **04/01/2011**

Name of Institution: **UNIVERSITY OF CALIFORNIA**

Address (city and state): **9500 GILMAN DR, DEPT 0934**

LA JOLLA, CA, UNITED STATES 920930934

Principle Investigator/Program Director: **BEACH, SANDY**

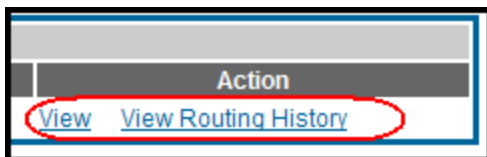
on Public Health Service grant number **5DP1OD123456-02** will resign position at this institution and has expressed a desire to continue his/her research project at the **CLARKSON UNIVERSITY**.

Contact email at the new Institution: **light.bud@clarkson.edu**

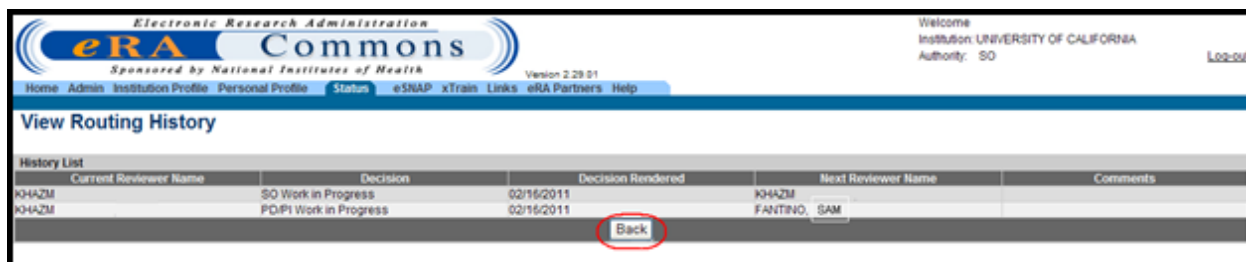
In view of the fact that we do not wish to nominate another principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of **06/01/2011** and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project.

| Equipment costing \$5,000 or More Transferring with the project (itemize) | Unexpended Balance - Estimated |
|--|---|
| NONE | <p>The unexpended balance on termination date of \$95,000.00 calculated on basis of total amount awarded for the grant year, will be approximately</p> <p>Direct cost - \$60,000.00 Indirect cost - \$35,000.00</p> |
| That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited. | |
| Official Authorized to Sign Application | |
| <p>Signature SO BEACH, SANDY Submitted through the Commons</p> | |
| <p>Typed Name BEACH, SANDY</p> | |
| <p>Title Signing Official</p> | |

4. *Optional:* To view the RS routing history, click the **View Routing History** link.



The system displays the *View Routing History* screen. The following statuses may be seen depending on where the RS is in the process: *SO Work in Progress*, *PD/PI Work in Progress*, *Submitted to Agency*, *Returned*, *Accepted for Consideration*, *Submitted to Agency and Linked*, or *Accepted for Consideration and Linked*.



- Click the **Back** button to return to the *Manage Relinquishing Statement* screen.

17.5.3.2 Search for Relinquishing Statements Submitted by Former Institution

SOs have the ability to search for Relinquishing Statements submitted by the former institution. This search is performed using the **Search for Relinquishing Statements** section on the *Status – Change of Institution* screen.

To search for RS submitted by the former institution:

- Enter the appropriate grant information in the **Search for Relinquishing Statements** search fields and select the **Search** button.

If no search parameters are entered, the search returns all the RS(s) linked to the current institution by Institutional Profile File (IPF).

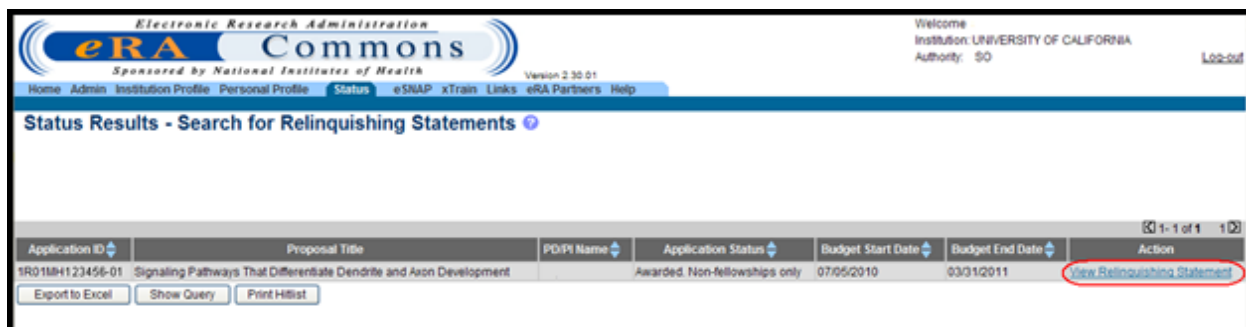
If the current institution has not been registered with Commons before the RS is submitted, the search does not return any results until the RS is updated with the IPF and/or the DUNS number.

If the system determines that no Relinquishing Statements have been linked to the receiving institution, then the following warning message appears:

No relinquishing statements have been associated with your institution. Please contact eRA Service Desk.

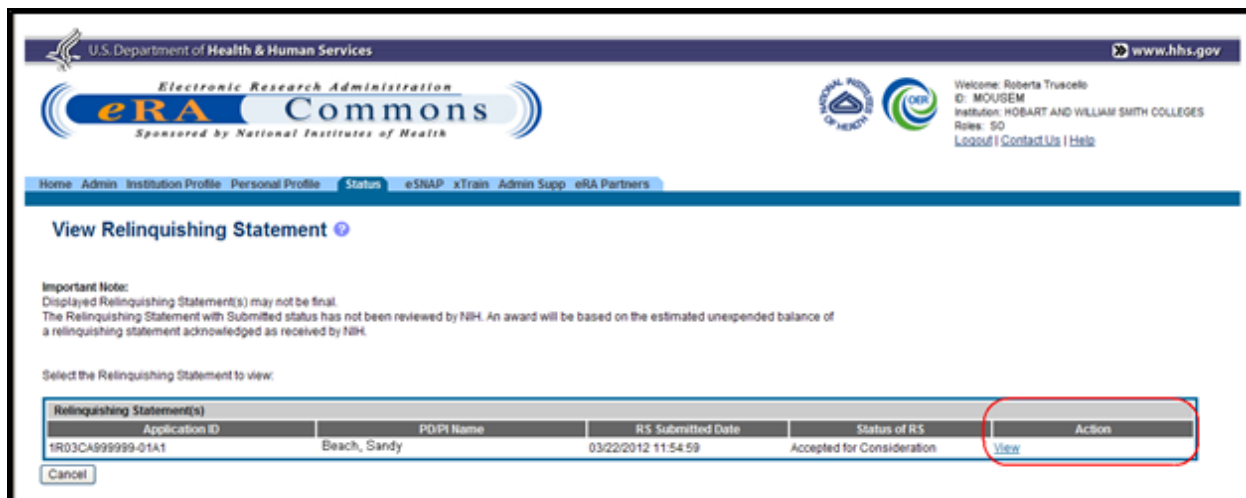
The system displays the *Status Results – Search for Relinquishing Statements* screen.

2. Click the **View Relinquishing Statement** link.



The system displays the *View Relinquishing Statement* screen. Relinquishing Statements with a status of *Accepted for Consideration* or *Submitted to Agency* are displayed.

3. Click the **View** link for the appropriate RS.



The system displays the RS in PDF format in a separate window. If the PDF file does not exist, the system displays the following message: *Document Not Found*.

4. Click the **Cancel** button to return to the *Status Result – Search for Relinquishing Statements* screen.

- Submit the application via Grants.gov using the Parent Funding Opportunity Announcement listed at https://grants.nih.gov/grants/guide/parent_announcements.htm. Please look for the NIH Guide Notice.

17.5.4 PD/PI Search/View Relinquishing Statement

Once a Relinquishing Statement has been submitted to the Agency, it is viewable within the Commons Status Information screen.

Perform the following steps to view the submitted form.

- On the *Status Result – List of Applications/Grants* screen, click on the appropriate grant number link in the **Application ID** column.

| Application ID | Grants.gov Tracking # | Proposal Title | PD/PI Name | eSubmission Status | Current Application Status | Status Date | Action |
|-----------------------------------|-----------------------|--|---------------|---------------------|-------------------------------------|-------------|--------|
| 1R01MH073991-01 | | Sp4 pathway in hippocampus modulates sensorimotor gating | GEYER, MARK A | | Application withdrawn for amendment | 03/19/2005 | |
| 1R01MH074497-01 | | Stress and CRF system effects on information processing | GEYER, MARK A | | Application withdrawn for amendment | 07/14/2005 | |
| 1R01MH052885-13S2 | | Developmental Models of Gating Deficits in Schizophrenia | GEYER, MARK A | | Awarded. Non-fellowships only | 09/16/2009 | |
| 1R01MH052885-14 | | Developmental Models of Gating Deficits in Schizophrenia | GEYER, MARK A | Submission Complete | Awarded. Non-fellowships only | 04/09/2010 | |
| 1R01MH073991-04 | | Sp4 pathway in hippocampus modulates sensorimotor gating | GEYER, MARK A | Submission Complete | Awarded. Non-fellowships only | 01/15/2009 | |
| 1R01MH052885-13S1 | | Developmental Models of Gating Deficits in Schizophrenia | GEYER, MARK A | | Awarded. Non-fellowships only | 07/07/2009 | |
| 1R01MH052885-13 | | Developmental Models of Gating Deficits in Schizophrenia | GEYER, MARK A | Submission Complete | Awarded. Non-fellowships only | 04/06/2009 | |

The system displays the *Status Information* screen.

- From the *Status Information* screen, click on the **Relinquishing Statement** link in the upper right hand corner.

| Status Information | |
|--|--|
| General Grant Information Status: Application awarded Institution Name: THE REGENTS OF THE UNIV. OF CALIF., UNIV. OF CALIF. School Name: SCHOOL OF MEDICINE School Category: SCHOOLS OF MEDICINE Division Name: NONE Department Name: PSYCHIATRY PI Name: GEYER, JEFFERY Application ID: 5R01MH123456-14 Proposal Title: Developmental Models of Gating Deficits in Schizophrenia Proposal Receipt Date: 03/15/2010 Last Status Update Date: 04/09/2010 Budget Start Date: 05/01/2010 Budget End Date: 04/30/2011 Progress Report Due Date: 03/16/2010 Current Award Notice Date: 04/12/2010 Application Source: ESNAP Project Period Begin Date: 04/01/1995 Project Period End Date: 04/30/2011 eApplication Status: FOA: [PA05-054] - FUNCTIONAL LINKS BETWEEN THE IMMUNE SYSTEM NIH Appl. ID: 1234567 | |
| Other Relevant Documents e-Application Latest NGA Notice(s) of Grant Award (PDF) 04/12/2010 Abstract (Awarded Grant) Relinquishing Statement Additions for Review (0 documents) | |

The system displays the *Relinquishing Statements* screen.

| Relinquishing Statements | | | |
|---|------------------------------------|---------------------|----------------------|
| Grant Number | 5 R01 MH999999-05 | | |
| PI Name(s) | BEACH, SANDY | | |
| Project Title | Melatonin in Menopausal Depression | | |
| Appl. Status | Application awarded. | | |
| Institution | UNIVERSITY OF CALIFORNIA | | |
| Appl ID | 99999999 | | |
| Document Name | Status | Submitted Date | Comments for Grantee |
| Relinquishing Statement | Accepted for Consideration | 2012-04-16 11:19:35 | |
| Close | | | |

- Click the **Relinquishing Statement** hyperlink to view the Relinquishing Statement PDF.

17.6 eMail Notifications

17.6.1 eMail to the New Institution Contact eMail Provided on the RS Electronic Form

Subject: eRA Commons: Relinquishing Statement for Grant <Grant Number>Submitted

To: New institution contact email provided on the RS electronic form

eMail Content: <Do not reply warning>

A relinquishing statement for NIH Grant Number <Grant Number> has been submitted electronically through eRA Commons identifying this email address as a contact for the new institution.

You may view this relinquishing statement by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (competitive segment). The proposed new grantee must submit a change of institution application. See the NIH Grants Policy Statement for policies regarding change of institution requests.

If your institution is not registered in the NIH eRA Commons, you will need to register in the eRA Commons and contact the eRA Help Desk for assistance in linking the relinquishing statement to your new institution account.

If you have any questions about this email, please contact the eRA Help Desk via the web at <http://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

17.6.2 Confirmation eMail to PD/PI & SO from Former Institution Acknowledging NIH Receipt of RS

TO: PD/PI, SO (who actually submitted the RS)

SUBJECT: eRA Commons: Relinquishing Statement for Grant <Grant Number> Submitted

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was electronically submitted to NIH and may now be viewed in the eRA Commons on the Status Information screen.

If you logged in as PD/PI, go to Status - List of Applications/Grants and select the link associated with the Grant Number.

If you logged in as SO, you can access the Status Information page by going to Status, executing a query for the grant, and selecting the link associated with the Grant Number. Also, you can view the submitted relinquishing statement through the Manage Relinquishing Statement page.

NIH must review and acknowledge the receipt of the relinquishing statement before a change of institution can be processed.

If you have any questions about this email, please contact the eRA Help Desk via the web at <http://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

17.6.3 The Relinquishing Statement Routed eMail Notification

Subject: eRA Commons: Request That You Review Relinquishing Statement for Grant <Grant Number>

To: PD/PI, SO - Individual selected by the current user as the next reviewer using the Route button

<User Last Name>, <User First Name> has completed processing the Relinquishing Statement for Grant <Grant Number>, and has forwarded it to you.

Please review the Relinquishing Statement in the NIH eRA Commons system and take the appropriate action for its eventual submission to the NIH. Please be aware that the correct new institution name and the contact email address provided on the relinquishing statement are necessary for the appropriate interactions between the awarding IC and grantee institutions involved in the process of the grant transfer.

Please use the link provided below to access the eRA Commons login screen.

The previous reviewer comments on why this action was taken are as follows: [Comments].

Footer:

If you have any questions about this email, please contact <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about the change of institution request process at NIH, please contact the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact <http://ithelpdesk.nih.gov/eRA/> or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Please access the NIH Commons at [URL to Commons Home Page]

17.6.4 The Relinquishing Statement Returned eMail Notification

Subject: eRA Commons: Relinquishing Statement for Grant <Grant Number> has been Returned by NIH

To: SO (who submitted RS to the agency), Centralized institution mailbox.

Relinquishing Statement for grant <Grant Number> has been reviewed by NIH and routed back to you with the following comments: [Comments]

Footer:

If you have any questions about this email, please contact Grants Management Specialist <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact <http://ithelpdesk.nih.gov/eRA/> or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Please access the NIH Commons at [URL to Commons Home Page]

NOTE: <initiator_email_addr> is the Employment address.

17.6.5 The Relinquishing Statement Acknowledged by NIH eMail Notification

Subject: NIH Automated Email: Relinquishing Statement for Grant <Grant Number> Received

To: SO (who submitted RS to agency), Centralized institution mailbox, PD/PI

NIH has acknowledged the receipt of the Relinquishing Statement for grant <Grant Number>.

Footer:

If you have any questions about this email, please contact <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about the change of institution request process at NIH, please contact the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact <http://ithelpdesk.nih.gov/eRA/> or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Please access the NIH Commons at [URL to Commons Home Page]

17.6.6 eMail Acknowledging RS Now Visible to New Institution After IPF is Entered by NIH Internal User

TO: PD/PI assigned to the grant, SO who submitted the RS from the former institution, new institution contact email provided on the RS electronic form

SUBJECT: eRA Commons: Relinquishing Statement for Grant <Grant Number> is visible to the New Institution

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was linked to the new institution by NIH and may now be viewed in the eRA Commons by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

Footer:

If you have any questions about this email, please contact the eRA Help Desk via the web at <http://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

17.6.7 Change of Institution Time Based Reminders

17.6.7.1 Change of Institution Application Reminder Notice (30 Days after RS Submit Date)

Recipients: New institution contact email provided on the RS form

From: eRANotifications@mail.nih.gov

Subject: *NIH Automated Email: Relinquishing Statement has been submitted XX days ago*

eMail Content: <Do not reply warning>

The relinquishing statement for NIH Grant Number [GrantNumber] has been submitted electronically through eRA Commons <XX> days ago.

As the proposed new grantee, you must provide the GMO with a change of institution application prior to the anticipated start date at the new organization and preferably several months in advance. Failure to provide timely notification may result in disapproval of the request or significant delays in processing.

If you have already submitted a paper change of institution application, you may disregard this notice.

If you do not intend to submit a change of institution application, please contact the grants management officer or the grants management specialist at the awarding IC to inform them.

If you have any questions about the change of institution request process at NIH, please contact the grants management officer or the grants management specialist at the awarding IC.

If you have any questions about this email, please contact the eRA Help Desk via the web at <https://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Thank you.

17.6.7.2 RS Reminder Notice (30 Days after Change of Institution Application Submit Date)

Recipients: Any SO at the Former Institution (of the Parent Grant), Former Institution centralized mailbox, PD/PI on the application

From: eRANotifications@mail.nih.gov

Subject: *NIH Automated Email: Change of Institution Electronic Request has been submitted XX days ago*

eMail Content: <Do not reply warning>

The Change of Institution request for NIH Grant Number [Parent Grant Number] has been submitted electronically through Grants.gov <XX> days ago.

The request to change the grantee institution indicates that there may be a change in status of the PD/PI which requires prior approval from the NIH. Please contact the grants management officer or the grants management specialist at the awarding IC to discuss the status of the award.

If you have already submitted a relinquishing statement on paper, you may disregard this notice.

If you have any questions about this email, please contact the eRA Help Desk via the web at <http://ithelpdesk.nih.gov/eRA/>, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <<mailto:commons@od.nih.gov>>.

Thank you.

17.7 Error Messages

If the system may determine that an unexpected error occurred, then the following error message appears.

An unexpected error occurred. Please contact eRA Service Desk.

If the system determines that the required field information was not entered on the search screen, then the following error message is produced:

You must enter the following required fields to proceed<field>.

If the system determines that the grant being searched for is not found, then the following error message is produced:

No grants to relinquish have been found.

If the system determines that the new institution name has not been entered on the RS, then the following error message is produced:

New Institution Name is a required field.

If the system determines that the new institution's Email Address has not been completed on the RS, then the following error message is produced:

*Please enter data in the Email Address field (e.g. user_name@domain_name.com)
(ID: 30102).*

If the system determines that the Termination Date has not been completed on the RS, then the following error message is produced:

Termination Date is a required field. (ID: 200241)

If the system determines that the Termination Date is not within the current budget period on the RS, then the following error message is produced:

The requested Termination Date must be within the current budget period.

If the system determines that the Direct Cost field has not been completed on the RS, then the following error message is produced:

Direct Cost is a required field.

If the system determines that the Direct Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

The direct costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.

If the system determines that the Indirect Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

The indirect costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards.

If the system determines that the total unexpended balance on the RS exceeds the amount awarded for the current budget period, then the following error message is produced:

The total costs being relinquished must not exceed the costs for the current budget period for transfers of active awards.

If the system determines that the Direct Cost, or the Indirect Cost or the Total Cost exceeds 999,999,999, then the appropriate error messages are displayed:

- *Direct Cost amount cannot exceed 999,999,999.*
- *Indirect Cost amount cannot exceed 999,999,999.*
- *Total Cost amount cannot exceed 999,999,999.*

18 FFR Module

18.1 What is FFR?

NIH has transitioned from the use of Financial Status Reports (FSRs) to Federal Financial Reports (FFRs) items 10.d. – 13.e. for the reporting of expenditure data. See guide notice NOT-OD-11-017 (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-017.html>).

A Federal Financial Report (FFR) is a statement of expenditures associated with a grant. Recipients of federal funds are required to report the status of funds for grants or assistance agreements to the sponsor of the grant using the Federal Financial Report expenditure data. The FFR module allows grantees to electronically submit a statement of expenditures associated with their grant to the sponsor of the grant via the electronic Research Administration (eRA) Commons (Commons).

18.2 Report Submission Due Dates

The FFR is prepared and submitted by Grant and Contract Accounting (GCA) on behalf of the Principal Investigator (PI). The schedule for submitting required financial reports is generally specified in the award documents of a grant or contract. [See NIH FFR Supplemental instructions.](#) Different due dates exist for FFRs depending on whether the report is an annual report or the final report.

Annual Federal Financial Report

For awards requiring annual submission of an FFR, the report must be submitted each budget period within 90 days of the calendar quarter in which the budget period ended. The reporting period for the annual FFR is the budget period for the award. The actual submission date is based on the calendar quarter (6/30, 9/30, 12/31, and 3/31).

Final Federal Financial Report

For awards requiring a final FFR, the due date and status for a final FFR are based on the Project Period End Date (PPED) as follows:

- *Pending*: If the FFR is not submitted and it is within 120 days of the PPED
- *Due*: If the FFR is not submitted and it is between the PPED and 120 days past the PPED
- *Late*: If the FFR is not submitted and it is over 120 days past the PPED

18.3 FSR Role in Commons

An extramural institution user who has the authority to view, enter, and submit an FFR on behalf of his entire organization must hold the *FSR* role in eRA Commons to access the FFR module. A institution's Signing Official (SO) or Account Administrator can add this role to a user's account.

Depending on the institution's workflow process, it is possible for the Signing Official (SO) or Business Official/Administrative Official (BO/AO) to have FSR person responsibilities. As such, these two authorities may be combined on the same account.

NOTE: An account with only the *FSR* role assigned can only perform tasks associated with FFRs; however, an account can include multiple roles, including that of *FSR*.

18.4 Features of FFR

If you have the *FSR* role in Commons, you can use the FFR module to perform multiple tasks. Available options vary depending on the status of the FFR associated with the award.

- Search for grant awards within your organization having associated FFRs
- Create a new FFR
- Edit a work in progress FFR
- View an FFR as a PDF
- Submit an FFR
- Correct a submitted FFR
- View the submission history of an FFR

NOTE: NIH requires all financial expenditure data to be submitted via eRA Commons. This includes all initial FFRs being prepared for submission and any revised FFRs being submitted or re-submitted to NIH.

IMPORTANT: With the transition of expenditure data reporting from Financial Status Reports (FSRs) to FFRs, it is possible that you may need to revise a previously submitted FSR. In this case, the revised report should also be submitted using the FSR format. eRA Commons will automatically select the correct form for you.

Uninitiated FSRs or FSRs in a *Work in Progress* status are no longer available. For these FSRs, eRA will reject the old report and institutions must create a new report using the FFR format. If you have questions on the version of the report being used or if you can no longer find your in progress report, please contact the [eRA Service Desk](#).

The Commons Online Help contains detailed information on the FFR module. You can access the FFR topics by selecting any of the help icons (?) on the FFR screens or by directly entering the following URL into your browser: http://era.nih.gov/erahelp/commons/#Commons/FFR/ffr_intro.htm. If you prefer a PDF format user guide, refer to the *Federal Financial Report (FFR) Expenditure Data User Guide* at http://era.nih.gov/files/ffr_user_guide.pdf.

18.5 Accessing FFR

The FFR module is housed within Commons. If you hold the *FSR* Commons role, you have

access to FFR.

1. Navigate to Commons on the internet at <https://commons.era.nih.gov/commons/>.
2. Log into Commons using your User Name and Password.
3. Select the **FFR** tab from the Commons menu tabs.

19 Financial Conflict of Interest (FCOI) Module

The Electronic Research Administration (eRA) Commons is a Web-based system for applicants and institutions to participate in the electronic grant administration process. Commons provides a modular framework and infrastructure that allows National Institutes of Health (NIH) extramural grantee organizations, Operating Divisions (OPDIVs), grantees, and the public to conduct grant-related business with NIH.

The *Financial Conflict of Interest User Guide* will instruct a user on how to allow specific users to manage the Financial Conflict of Interest (FCOI) reporting process for their particular Institution. The Financial Conflict of Interest (FCOI) reporting process allows institutions to report the existence of any identified financial conflicts of interest to the Agency as required by the Federal regulation, specifically Title 42 Code of Federal Regulation Part 50 Subpart F for grants and cooperative agreements. The institution's Signing Official (SO) completes this reporting process unless an FCOI role is delegated to another user (the SO can also assign the FCOI_ASST and FCOI_View roles to other users). To do this, the SO must log into the eRA Commons and navigate to the FCOI sub-system.

The FCOI module is an online interface within Commons that allows grantees and Federal staff to share information. The module is mandatory for all institutions. An institution's Signing Official completes this reporting process unless another Commons user is delegated with the proper authority to access the module.

The FCOI module in Commons allows institutional users to:

- Initiate and prepare FCOI reports
- Electronically submit reports and supporting documents as well as annual FCOI reports
- Receive notification via email upon the submission and receipt of an FCOI
- Search and view FCOI reports previously submitted through the Commons
- Revise an Initial 2011 FCOI Report to update FCOI data following completion of the Retrospective Review or to submit a Mitigation Report when bias is found following the completion of a Retrospective Review.
- Access history of actions
- Assign FCOI access to other Commons users

Additional information on the reporting requirements can be found within the *Frequently Asked Questions* on the Office of Extramural Research's Financial Conflict of Interest website at <https://grants.nih.gov/grants/policy/coi/index.htm>.

For more information on the FCOI module, refer to the FCOI topic of the Commons Online Help System (<https://era.nih.gov/erahelp/commons/>) or the *Financial Conflict of Interest (FCOI) External User Guide* (https://era.nih.gov/files/fcoi_user_guide.pdf).

19 Non Research Amendments

The steps below outline the process for grantees to submit post-award amendment applications for funding

19.1 PI Initiate

When a user with a PI role selects the **Non-Research** tab and then the **Manage Post Award Amendments** tab, the system will present them with a list of grants eligible for amendments. This list will only display those grants on which the user is a PI.

A checkbox is available to show expired grants as well and these may also be amended.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: Search ⓘ

☐ Include Expired Grants ⓘ

Showing 1 - 6 of total 6

| Grant Number | Federal Agency | Project Start | Project End | Budget Start | Budget End | Project Title | Action |
|--------------|----------------|---------------|-------------|--------------|------------|--------------------------------|-------------------------------|
| H79SM999999 | SAMHSA | 01/01/2020 | 12/31/2024 | 01/01/2020 | 12/31/2020 | SAMHSA Non-Research Type 1 FOA | View Initiate... |
| H79SM333333 | SAMHSA | 01/01/2015 | 12/31/2024 | 01/01/2015 | 12/31/2020 | SAMHSA Non-Research Type 1 FOA | Initiate... |
| H79SM666666 | SAMHSA | 01/01/2020 | 12/31/2024 | 01/01/2020 | 12/31/2020 | SAMHSA Non-Research Type 1 FOA | View Initiate... |

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc
- No-Cost Extension
- Organization Change

The screen will show buttons in the Action column for initiating a new amendment application or to view a previous amendment application if that grant has had one previously.

The **View** button option will display any amendment applications associated with that grant. Please see the [View](#) section for more detail.

Clicking on the **Initiate** button will open a menu showing the following types of amendment options:

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel

- Merger, Transfer, etc
- No-Cost Extension
- Organization Change

Clicking on one of the menu options will open up the ASSIST module and open the forms required for the type of amendment selected. (click for an example)

U.S. Department of Health & Human Services eRA Commons Home Logout Help Desk Contact Us

Application Submission System & Interface for Submission Tracking (ASSIST)

Sponsored by the National Institutes of Health

Username: [REDACTED]

Home > Application Information

Required Forms

Tip: Some actions (e.g., Preview Application and Validate Application) are only available if the application is in the 'Submitted' state. Information link in the breadcrumbs above can be used to return to this screen.

Summary SF424 Cover HHS Checklist Budget - Non-Construct. Budget Narrative Project Narrative Other Narrative Attachments

Application Information

Application Identifier: 10805

Application Type: Post Award Amendment (Budget Revision)

Application Project Title: SAMHSA Type 1 Non-ResearchFOA

PD/PI Name:

Organization: UNIVERSITY OF GAUDIUM

Project Period: 01/01/2020 - 12/31/2024

Status: Work in Progress Submit Application

Status Date: 2016-10-05 05:25:49.000 PM EDT

FOA Information

FOA Number: PA-51-666

Opportunity Title: SAMHSA TEST Post Award Amendments (Type 6)

Agency: SAMHSA

CFDA Number:

Competition ID: SAMHSA-TEST-T6-PAA

Opportunity Open Date: 07/06/2016

Opportunity Close Date: 06/30/2020

Agency Contact: NIH Tester
For NGIT Testing Purposes
E-mail: era1ATesters@mail.nih.gov
Phone: 123-123-1234

SAM Registration Expiration Date: 08/22/2017

An active SAM Registration is required to submit your application to the agency

Click for SAM Registration Details

The application will include the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

Other features on the Information page will show the type of amendment, the PI and Institution information, the related FOA, as well as other information.

NOTE: It is important to check the SAM registration to be sure that the expiration date is *after* the submission date.

19.2 SO Initiate

NOTE: SAMHSA users who are Business Officials will be given the Signing Official role in eRA Commons.

Business Officials with the SO (Signing Official) role in eRA Commons will be able to search for all grants that are eligible to be amended within their institution.

Open **Search** by clicking on the **Non Research** tab and then the **Manage Post Award Amendments**.

The resulting Search screen will provide fields to search by several criteria. If the search criteria fields are left blank and then the **Search** button is clicked, a list of *all* eligible grants for the institution are displayed.

The SO may then use the **Filter** tool to find specific grants or grants with specific criteria (specific PD/PI, for example).

The screenshot displays the 'Manage Post Award Amendments: Search' page in the eRA Commons system. The header includes the U.S. Department of Health & Human Services, NIH, and Office of Extramural Research logos. The main content area features search filters for Activity (R01), IC (All selected (3)), Serial # (00000), and PD/PI Last Name (last name). A 'Search' button is present. Below the filters, there is a checkbox for 'Include expired grants' and a 'Filter' input field. The results are shown in a table with columns: Grant Number, Federal Agency, Project Period Start, Project Period End, Budget Period Start, Budget Period End, Project Title, and Action. The table lists five grants, all from SAMHSA. Each grant row has 'View' and 'Initiate' buttons. The bottom right shows pagination: 'Showing 1 - 12 of total 12' and 'Show 25 per page'.

| Grant Number | Federal Agency | Project Period Start | Project Period End | Budget Period Start | Budget Period End | Project Title | Action |
|--------------|----------------|----------------------|--------------------|---------------------|-------------------|---|--------------------------------|
| R01GM123456 | SAMHSA | 01/02/2017 | 01/02/2022 | 01/02/2017 | 01/02/2018 | Project title will go here, abbreviated for length... | View Initiate ... |
| R01GM333333 | SAMHSA | 11/02/2017 | 11/02/2022 | 11/02/2017 | 11/02/2018 | Another title here, abbreviated for length... | View Initiate ... |
| R01GM111111 | SAMHSA | 01/02/2016 | 01/02/2021 | 01/02/2016 | 01/02/2017 | Another title here, abbreviated for length... | View Initiate ... |
| R01GM444444 | SAMHSA | 01/02/2017 | 01/02/2022 | 01/02/2017 | 01/02/2018 | Project title will go here, abbreviated for length... | View Initiate ... |
| R01GM222222 | SAMHSA | 11/02/2017 | 11/02/2022 | 11/02/2017 | 11/02/2018 | Another title here, abbreviated for length... | View Initiate ... |

The resulting list will have an **Initiate** button and, if there are already amendments for that grant, a **View** button.

The **View** button option will display any amendment applications associated with that grant. Please see the [View](#) section for more detail.

Once the grant to be amended is located, click on the **Initiate** button in the **Action** column on the row for that grant to see a drop-down menu listing the following amendment options:

| Grant Number | Federal Agency | Project Start | Project End | Budget Start | Budget End | Project Title | Action |
|--------------|----------------|---------------|-------------|--------------|------------|---|---|
| H79SM123456 | SAMHSA | 09/30/2014 | 09/29/2019 | 09/30/2016 | 09/29/2017 | ACME Department of Health and Social Affairs Project LA | <div>Initiate...<ul style="list-style-type: none">Budget RevisionCarryover RequestChange in ScopeKey PersonnelMerger, Transfer, etcNo-Cost ExtensionOrganization Change</div> |
| U79SP123456 | SAMHSA | 09/30/2014 | 09/29/2019 | 09/30/2015 | 09/29/2016 | ACME Departme Health and Social Affairs SPF-PFS Project | |

- Budget Revision
- Carryover Request
- Change in Scope
- Key Personnel
- Merger, Transfer, etc
- No-Cost Extension
- Organizational Change

Select the most appropriate type. The user will then be taken to the ASSIST tool to begin the post-amendment application with the amendment-specific forms. (

U.S. Department of Health & Human Services | eRA Commons | Home | Logout | Help Desk | Contact Us

Application Submission System & Interface for Submission Tracking (ASSIST)

Sponsored by the National Institutes of Health

Username: [REDACTED]

Home > Application Information

Required Forms

Tip: Some actions (e.g., Preview Application and Validate Application) are only available if the application is in the 'Work in Progress' status. The Information link in the breadcrumbs above can be used to return to this screen.

Other components for the type of amendment

Application Information

Application Identifier: 10805

Application Type: Post Award Amendment (Budget Revision)

Application Project Title: SAMHSA Type 1 Non-Research FOA

PD/PI Name:

Organization: UNIVERSITY OF GAUDIUM

Project Period: 01/01/2020 - 12/31/2024

Status: **Work in Progress** | Submit Application

Status Date: 2016-10-05 05:25:49.000 PM EDT

FOA Information

FOA Number: PA-51-666

Opportunity Title: SAMHSA TEST Post Award Amendments (Type 6)

Agency: SAMHSA

CFDA Number:

Competition ID: SAMHSA-TEST-T6-PAA

Opportunity Open Date: 07/06/2016

Opportunity Close Date: 06/30/2020

Agency Contact: NIH Tester
For NGIT Testing Purposes
E-mail: era1ATesters@mail.nih.gov
Phone: 123-123-1234

SAM Registration Expiration Date: 08/22/2017

An active SAM Registration is required to submit your application to the agency | [Click for SAM Registration Details](#)

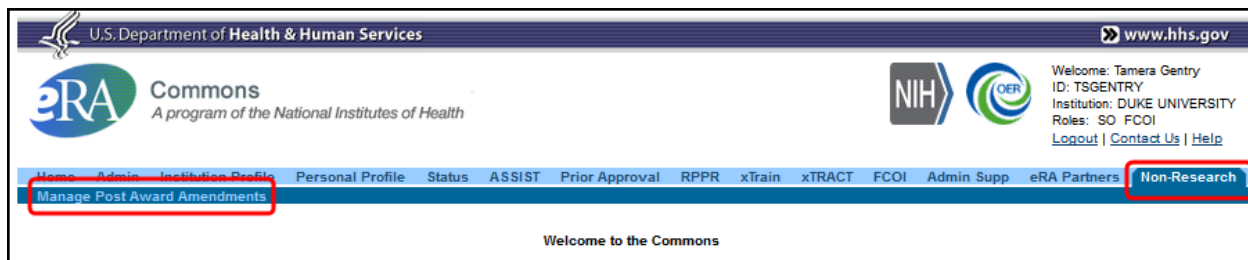
The application will include the main SF424 form as well as other forms that required based on the type of amendment selected. Each tab navigates to that form.

Other features on the Information page will show the type of amendment, the PI and Institution information, the related FOA, as well as other information.

NOTE: It is important to check the SAM registration to be sure that the expiration date is *after* the submission date.

19.3 View Amendments

In order to view amendments, log into eRA Commons with the PI or SO role. Select the **Non-Research** tab, and then select **Manage Post Award Amendments**.



The **Manage Post Award Amendments: Search** screen will open.

PIs will see a list of grants, for that PI, which are eligible to be amended.

NOTE: The list can be resorted by clicking the heading title for any column except for **Action**.

By default, expired grants are excluded but the **Include Related Grants** checkbox may be selected to include those grants in the search results.

| Grant Number | Federal Agency | Project Start | Project End | Budget Start | Budget End | Project Title | Action |
|--------------|----------------|---------------|-------------|--------------|------------|--------------------------------|------------------|
| H79SM000123 | SAMHSA | 01/01/2020 | 12/31/2024 | 01/01/2020 | 12/31/2020 | SAMHSA Type 1 Non-Research FOA | View Initiate... |
| H79SM001234 | SAMHSA | 01/01/2020 | 12/31/2024 | 01/01/2020 | 12/31/2020 | SAMHSA Type 1 Non-Research FOA | View Initiate... |
| H79SM012345 | SAMHSA | 01/01/2020 | 12/31/2024 | 01/01/2020 | 12/31/2020 | SAMHSA Type 1 Non-Research FOA | View Initiate... |

SOs will initially see search fields above an empty hitlist.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp

eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: Search ?

Activity ? activity code IC * ? All selected (6) -

Serial # ? 000000 PD/PI Last Name ? last name

☐ Include Expired Grants ?

Search

Showing 0 to 0 of 0 entries

| Grant Number | Federal Agency | Project Start | Project End | Budget Start | Budget End | Project Title | Action |
|----------------------------|----------------|---------------|-------------|--------------|------------|---------------|--------|
| No data available in table | | | | | | | |

The SO may then search via any combination of; *Activity*, *IC*, *Serial #*, or *PD/PI Last Name*. The **Include Expired Grants** checkbox allows the option to include expired grants in the search results.

Tip: If all fields are left blank, the search results will include all eligible grants within the institution.

Tip: Use the Filter field for additional specification

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners

Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: Search ?

Activity ? activity code IC * ? SM -

Serial # ? 000000 PD/PI Last Name ? last name

☒ Include Expired Grants ?

Search

Showing 1 - 3 of total 3 (filtered from 42)

Filter: 123

Show 25 per page « 1 »

| Grant Number | Federal Agency | Project Start | Project End | Budget Start | Budget End | Project Title | Action |
|---------------|----------------|---------------|-------------|--------------|------------|--------------------------------|-------------------|
| H79SM000123 | SAMHSA | 01/01/2020 | 12/31/2024 | 01/01/2020 | 12/31/2020 | SAMHSA Type 1 Non-Research FOA | View Initiate... |
| H79SM0001234 | SAMHSA | 01/01/2020 | 12/31/2024 | 01/01/2020 | 12/31/2020 | SAMHSA Type 1 Non-Research FOA | View Initiate... |
| H79SM00012345 | SAMHSA | 01/01/2020 | 12/31/2024 | 01/01/2020 | 12/31/2020 | SAMHSA Type 1 Non-Research FOA | View Initiate... |

For both the PI and SO Search results;

Grants that have had amendments submitted will have a **View** button as well as the **Initiate** button in the **Action** column of the table.

Clicking on the **View** button will open up the *View* screen and display the amendments related to that specific grant as well as their statuses.

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: View ?

Application Information

Grant Number: H79SM000123 Core Grant Number

Project Name: UNIVERSITY OF GAUDIUM

Project Period: 01/01/2020 - 12/31/2024

Showing 1 - 5 of total 5

| Amendment Application # | Grants.gov Tracking # | Budget Start | Budget End | Type | Submitted | Status | Award # | Action |
|-------------------------|-----------------------|--------------|------------|-----------------|------------|-----------|---------------------|-------------|
| 6H79SM000123-01L003 | GRANT00655693 | 01/01/2020 | 12/31/2020 | Change in Scope | 09/19/2016 | In Review | | |
| 6H79SM000123-01L002 | GRANT00655691 | 01/01/2020 | 12/31/2024 | Change in Scope | 09/19/2016 | In Review | | Action(s) - |
| 6H79SM000123-01L001 | GRANT00655690 | 01/01/2020 | 12/31/2024 | Change in | 09/19/2016 | Awarded | 6H79SM000123-01M001 | Action(s) - |
| 6H79SM000123-01L001 | GRANT00655694 | 01/01/2020 | 12/31/2024 | Change in | 09/19/2016 | In Review | | Action(s) - |
| 6H79SM000123-01L001 | GRANT00655838 | 01/01/2020 | 12/31/2024 | Change in | 09/22/2016 | In Review | | Action(s) - |

NOTE: Awarded applications will have an "M" in the suffix instead of the "L" in the related application number

Edit RAM View Prior RAM

The **Back to Search** button at the top of the page will return the user to the previous page.

The **Initiate** button at the top of the page will give options to begin another amendment application.

The **Action(s)** button in the **Action** column provide a menu giving the options to either view a consolidated PDF of all related Requests for Additional Material (**View Prior RAM**) or to open up the RAM screen in order to upload materials (**Edit RAM**). The Edit RAM option will not show for awarded applications. See the section on [RAM](#) for more detail.

Please see these topics for more detail:

- [PI Initiate](#)
- [SO Initiate](#)

19.4 Request for Additional Materials - RAM

Subsequent to submitting an amendment application, the Program Official (PO) or Grants Management Specialist (GMS) may ask for additional information to be submitted. This is done via a "Request for Additional Materials" (RAM).

From the *View Amendments* screen, any applications that require additional materials or actions will display an **Action(s)** button in the **Action** column.

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Home | Admin | Institution Profile | Personal Profile | Status | ASSIST | Prior Approval | RPPR | xTrain | xTRACT | Admin Supp | eRA Partners | Non-Research

Manage Post Award Amendments

Manage Post Award Amendments: View [?](#) [Back to Search](#) [Initiate...](#)

Application Information

Grant Number: H79SM1234567 **Organization Name:** UNIVERSITY OF PATENTIA
Project Period: 01/01/2020 - 12/31/2024 **Grant Program (PCC):**

Showing 1 - 5 of total 5

| Amendment Application # | Grants.gov Tracking # | Budget Start | Budget End | Type | Submitted | Status | Award # | Action |
|-------------------------|-------------------------------|--------------|------------|--|------------|-----------|---------------------|--|
| 6H79SM123456-01L003 | GRANT12345678 | 01/01/2020 | 12/31/2020 | Change in Scope | 09/19/2016 | In Review | | |
| 6H79SM123456-01L002 | GRANT00655691 | 01/01/2020 | 12/31/2024 | Change in Scope | 09/19/2016 | In Review | | Action(s) |
| 6H79SM123456-01L001 | GRANT12345678 ⁵⁶⁹⁰ | 01/01/2020 | 12/31/2024 | Change in Organizational Information | 09/19/2016 | Awarded | 6H79SM123456-01M003 | Action(s) |
| 6H79SM123456-01L004 | GRANT00655694 | 01/01/2020 | 12/31/2020 | Change in Scope | 09/19/2016 | In Review | | Action(s) |
| 6H79SM123456-01L005 | GRANT00655838 | 01/01/2020 | 12/31/2024 | Merger, Successor-In-Interest, or Transfer | 09/22/2016 | In Review | | Edit RAM View Prior RAM |

Clicking on **Action(s)** will open up a menu to select from **Edit RAM** or **View Prior RAM**.

View Prior RAM will provide a PDF file of all RAM submissions that have been made for that Amendment application.

Selecting **Edit RAM** will open the *RAM* screen.

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Post-Award Amendment Application: Request for Additional Materials (RAM) ?

Application Information

| | | | |
|--|--|---------------------------------------|--|
| Grant Number: R012345 | Amendment Application #: L0001 | PD/PI Name: Doe, John | Budget Period: 01/01/2016 - 01/01/2017 |
| Project Title: Project Title will go here | Amendment Type: Budget Revision | Org Name: University of School | Project Period: 01/01/2016 - 01/01/2021 |
| Grant Program (PCC): 12345 | | | |

RAM

Instructions here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. Sed sit amet enim eu lorem tempus finibus. Sed sit amet leo turpis. Nam luctus velit id dictum bibendum. Interdum et malesuada fames ac ante ipsum primis in faucibus. Nunc iaculis a urna quis aliquam. Curabitur et quam leo. Fusce tincidunt metus vel facilisis auctor.

Please provide additional materials:

| File Name | Date Created | |
|---------------------------|--------------|---|
| uploaded-document-1.pdf | 01/20/2016 | <input type="button" value="View"/> <input type="button" value="Delete"/> |
| uploaded-document-22.pdf | 01/22/2016 | <input type="button" value="View"/> <input type="button" value="Delete"/> |
| uploaded-document-333.pdf | 01/23/2016 | <input type="button" value="View"/> <input type="button" value="Delete"/> |

Please provide Comments to Agency:

On this screen will be:

- **Application Information** - A summary of the related application for which the RAM is being requested.
- An option to upload required documents requested. Up to 10 documents may be uploaded. Individual documents may not exceed 6MB in size.
- An area used for the justification which is a free-form text box and is a required field.
- **Cancel**, **View**, **Save**, and **Submit** buttons.
 - **Cancel** - Takes the user back to the Amendment View
 - **View** - Creates a PDF of all submitted RAMs
 - **Save** - Saved the current in-progress RAM
 - **Submit** - Sends the RAM to the agency. Once submitted, no more changes to this specific RAM can be made and the justification and uploaded files will be appended to the final summary PDF.

There can only be one active (i.e. non-submitted) RAM at a time to which changes can be made by any authorized user. Once submitted, a new RAM is required for additional changes.

- **Things to note:**
 - There is no limit to the number of RAMs that the user can submit.
 - Both PI and SO can edit the RAM as it allows for a partial save.

- The system provides an audit trail of who uploaded the documents.
- The user can see a consolidated list of all documents uploaded for RAM submission, with the latest on top. It is presented to the agency as one PDF with all documents combined.

Tip: Check all documents after uploading to ensure the right ones have been submitted.

When the RAM is submitted, an email notification is sent to the Government Project Officer (GPO), Grant Technical Assistant (GTA) and Grants Management Specialist (GMS) .

The system provides an audit trail of who uploaded the documents.

20 xTRACT

Extramural Trainee Reporting and Career Tracking (xTRACT) is a module within eRA Commons used by applicants, grantees, and assistants to create research training tables for inclusion in progress reports and institutional training grant applications.

Because xTRACT is integrated with Commons it is able to pre-populate some training data for training tables and reports by using xTrain appointment and related data. This includes trainee names, selected characteristics, institutions, grant numbers, and subsequent NIH and other HHS awards. xTRACT also allows the manual entry of data, for information not found in Commons or xTrain. This manually entered information is stored in xTRAIN and can be re-used when preparing subsequent training table submissions.

If you are a Signing Official (SO), Principal Investigator (PI), or assistant (ASST) in Commons, you have access to the xTRACT module.

IMPORTANT: xTRACT is a tool for creating training tables. Tables generated in xTRACT must be attached to and submitted with the appropriate progress report or application. There is no Submit feature in xTRACT.

For additional information on xTRACT, please refer to the resources below:

- Guide Note: [NOT-OD-16-007](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-007.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-007.html>)
- xTRACT Online Help: <https://era.nih.gov/erahelp/xtract>

21 Reference Letters

If you are asked to submit a reference letter for someone, you must do so using eRA Commons. Reference letters can be submitted any time after the Funding Opportunity Announcement (FOA) is posted and no later than the deadline.

IMPORTANT: The referee need not log in to Commons to submit a reference letter for an applicant. The process is external to Commons.

Although - as the Referee - you do not need a Commons role to submit a reference letter, the candidate on whose behalf you are writing must have a Commons account and hold the PI role. If your candidate does not hold this role, you will receive the following error when attempting to submit the letter: *Commons User ID of Applicant entered is invalid (ID:90274)*.

The candidate's Signing Official (SO) or Accounts Administrator (AO) at the institution will need to assign the PI role to the candidate's Commons account.

In order for you to submit a reference letter, the candidate must supply you with the following:

- Applicant's PI Commons User ID
- PI's last name as it appears on the Commons account
- Funding Opportunity Announcement (FOA) number
- FOA opening date and application submission deadline

Letters of reference must be no longer than 2 pages and in the PDF format.

NOTE: For Fellowship applications and Career Development programs a Letter of Reference form is no longer required. A letter written on university letterhead or similar is acceptable.

To submit a reference letter, follow the steps below:

1. Use your internet browser to access the *Welcome to the Commons* at <https://public.era.nih.gov/commons/public/login.do>

2. Select the **Submit Reference Letter** link.

The screenshot shows the eRA Commons homepage. The header includes the eRA Commons logo, NIH logo, and OER logo. The main content area is divided into several sections:

- Commons Login**: Includes fields for Username and Password, and buttons for Login and Reset. Below this are links for external users and a forgot password link.
- Federated Institutions/Organizations**: A dropdown menu and a Sign in button.
- Federal User Login**: A link to the Federal User Login page.
- eRA Service Desk**: Provides contact information including hours, web address, toll-free number, and phone number.
- Welcome to the Commons**: A large heading with a system notification message stating "All systems are currently available." Below this is a link to the eRA Scheduled Maintenance Calendar.
- Support Related Resources**: A list of links including Electronic Submission, Electronic Application Submission, eRA Home Page, and Demo Facility.
- Commons Related Resources**: A list of links including Reference Letters (circled in red), Demo Facility, and Privacy Act Statement.
- Register Grantee Organization**: A link to the Register Grantee Organization page.
- About the Commons**: A list of links including Frequently Asked Questions and Latest Release Notes.
- Additional Links**: A list of links including RePORT, Grants.gov, iEdison, National Institutes of Health, Public Access Policy Page, Loan Repayment Program, and Commons Quick Queries.

The *Submit Reference Letter* form displays.

Submit Reference Letter ?

Notes and Tips:

- If you are submitting a reference for a fellowship application, please make sure to follow the instructions in [Reference Letter Submission Process Guide](#)
- Note: The Fellowship Reference Form previously used with Fellowship applications is no longer required.
- If your reference letter is not attached to your application, please check the FOA number. If this number is incorrect, the letter must be resubmitted by the referee with the correct FOA number.
- FOA Number: Use format of IC-YY-xxx. For RFAs, drop the 'RFA-'. For example, for RFA-RM-13-006 use RM-13-006.

* indicates required field

Referee Information

Referee First Name: *

Referee Last Name: *

Referee MI Name:

Referee Email: *

Referee Institution/Affiliation: *

Referee Department: *

Applicant Information

PI Commons User ID: *

PI Last Name: *

Funding Opportunity Announcement Number: *

Reference Letter Confirmation # (if re-submitting): *

Continue Cancel

3. Fill out the fields on this page. Required fields are displayed with a red asterisk (*).
4. Select the **Continue** button.

The screen updates providing you a place for uploading your letter or form. The letter must be in PDF format and should not exceed two pages. The PDF cannot be password-protected and should not be fillable.

5. Attach the reference form or letter using the **Browse** button.
6. After attaching your letter, select the **Submit** button.

Once a reference letter is submitted, you and the candidate will receive a confirmation via email that the letter was received. The candidate will not be able to see the reference letter you've submitted.

IMPORTANT: If you need to submit a corrected reference letter, access the *Commons Submit Reference Letter* screen again, filling out the fields, this time entering the **Reference Letter Confirmation #** with the previous submission's confirmation number. Continue, attach the new letter, and submit again.

For more information, refer to our tutorial on You Tube titled [Submit Reference Letters in Commons](#).

22 Understanding Grant Numbers

A grant number provides unique identification for the grant. The figure below shows an example of a complete NIH grant number.

Sample Grant Number: 1 R01 CA 123456-01A1

| Application Type | Activity Code | Institute/Center (IC) | Serial Number | Support Year | Extension |
|------------------|---------------|-----------------------|---------------|--------------|-----------|
| 1 | R01 | CA | 123456 | 01 | A1 |

The grant number is comprised of the following parts:

Application Type: Indicates the type of application (e.g., new, renewal, non-competing, etc.)

Activity Code: Represents the specific category of support (e.g., research projects, fellowships, etc.)

Institute/Center Code: The code for the NIH Institute/Center (IC) associated with the grant

Serial Number: The unique number - assigned by the NIH Center for Scientific Research (CSR)-identifying the specific application

Support Year: Indicates the current year of support (e.g., an 01 support year is a new grant)

Suffix Code: An optional code used for supplements, amendments, or fellowship institutional allowances

For additional information, access the Grants & Funding website listing the types of grant programs (**Policy:** https://grants.nih.gov/grants/funding/funding_program.htm).

22 ORCID

The *Open Researcher and Contributor ID* (ORCID) is used within NIH and GRANTS.GOV to relate publications to grants. Due to this relationship, the place to add the ID is within NCBI (*National Center for Biotechnology Information*) and not within eRA Commons directly.

Once the ORCID is linked in NCBI, the update will propagate to the profile in Commons.

If you do not already have this ID, it can be created at <http://orcid.org/>.

The steps to link it in MyNCBI would be similar to the instruction set used by the *National Library of Medicine*: https://www.nlm.nih.gov/pubs/techbull/so14/so14_sciencv_orcid.html

For additional help with NCBI, use their email-based service desk:

[NCBI Service Desk email link](#)

That link is found on the lower right of the [NCBI logon page](#).

For more information regarding ORCID ID please visit <http://orcid.org>.